



**Drug Courts
Program Office**

Drug Court Grant Program Fiscal Year 2000

Program Guidelines and Application Kit

Applicant Workshops

***January 14, 2000
Washington, DC***

***January 21, 2000
Albuquerque, NM***

***January 24, 2000
San Francisco, CA***

***APPLICATION DEADLINE:
February 18, 2000***

U.S. Department of Justice
Office of Justice Programs
810 Seventh Street, NW
Washington, DC 20531

Janet Reno
Attorney General

Daniel Marcus
Acting Associate Attorney General

Laurie Robinson
Assistant Attorney General

Noël Brennan
Deputy Assistant Attorney General

Marilyn McCoy Roberts
Director, Drug Courts Program Office

Office of Justice Programs
World Wide Web Homepage:
<http://www.ojp.usdoj.gov>

Drug Courts Program Office
World Wide Web Homepage:
<http://www.ojp.usdoj.gov/dcpo>

For grant and funding information contact:
Department of Justice Response Center
1-800-421-6770

SL 000392

Drug Court Grant Program Fiscal Year 2000

Program Guidelines and Application Kit

SL000392

For copies of this publication, please contact:

National Criminal Justice Reference Service (NCJRS)
P.O. Box 6000
Rockville, MD 20849-6000
Telephone: 1-800-851-3420
or 301-519-5500
E-mail: askncjrs@ncjrs.org

The Drug Courts Program Office Office of Justice Programs

Announces the Following:

Applicant Training Workshops

To provide jurisdictions with the requirements for a grant application. See Appendix Form X for further information and to register to attend.

January 14 — Washington, DC

January 21 — Albuquerque, NM

January 24 — San Francisco, CA

NOTE: Federal grant funds cannot be used to attend these workshops.

New Adult, Juvenile, or Family Drug Court Planning Initiative

This year, we are launching a new initiative to assist communities in the planning process. A community will not need to submit an application, provide a 25 percent local match, or compete for funding in order to receive training and technical assistance on planning an adult, juvenile, or family drug court. All communities will be served. For further information, see page 10.

New Tribal Drug Court Initiative

This year, we also are launching a separate application kit to support the planning, implementation, and enhancement of tribal drug courts. The application is available by calling 1-800-421-6770 or online at www.usdoj.ojp/dcpo.

Application Checklist

Does Your Application Include (in the following order):

- _____ Application for Federal Assistance (SF 424), signed by the authorizing official? (See Form 2)
- _____ Assurances form? (See Form 3)
- _____ Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements form? (See Form 4)
- _____ Applicant Information Page? (See page 39)
- _____ Applicant Certifications, submitted in a letter signed by the authorizing official? (See page 66)
- _____ One-page Project Abstract, which summarizes the goals and objectives of the grant request?
- _____ A narrative that responds to the Program Design Narrative set forth in I or II depending on the type of grant for which you are applying?
 - Attachments:
 - ☐ Time and Task Plan
 - ☐ Policies and Procedures Manual (if applicable)
 - ☐ Letters of Support (if applicable)
- _____ Budget Detail Worksheet?
- _____ Budget Narrative that clearly describes the items contained in the Budget Detail Worksheet?

To expedite and streamline the receipt, review, and processing of your request for funding in Fiscal Year 2000, all grant applications to the Office of Justice Programs (OJP), Drug Courts Program Office (DCPO) **must be submitted electronically over the Internet**. To assist you in submitting your application on-line, OJP has established the user friendly **Grants Management System (GMS)**. GMS will allow you to view the FY 2000 Drug Court Grant Program Application Kit and Guideline on-line and instruct you in submitting your application over the Internet. The Internet address for GMS is www.ojp.usdoj.gov/guidelinesinfo.htm.

If you do not have an Internet account established, GMS project staff will assist you in creating an Internet account. Please call the GMS Hotline at (888) 549-9901 for assistance.

To request a printed copy of the *FY 2000 Drug Court Grant Program Application Kit and Guideline*, please call 800-851-3420.

Instructions for Submitting Applications Online — Grants Management System (GMS)

Using an established Internet account, or after creating an account with GMS staff assistance:

- **Step 1.** Visit the GMS web page at www.ojp.usdoj.gov/guidelinesinfo.htm.
- **Step 2.** Select the *FY 2000 Drug Court Grant Program Application Kit and Guideline*.
- **Step 3.** Follow the on screen instructions. Call (888) 549-9901 for assistance.
- **Step 4.** Submit your application on-line.

Table of Contents

| | |
|--|-----------|
| Announcements | i |
| Application Checklist | iii |
| Introduction | 1 |
| The Drug Court Movement | 3 |
| Important Partnership with Treatment | 4 |
| Key Components of a Drug Court | 4 |
| FY 2000 Drug Court Grant Program | 7 |
| Background | 9 |
| FY 2000 Drug Court Grant Program | 10 |
| 1. New Adult, Juvenile, or Family Drug Court Planning Initiative | 10 |
| 2. New Tribal Drug Court Guideline and Application Kit | 12 |
| Eligible Applicants | 13 |
| Implementation Category | 14 |
| A. Adult Drug Court Implementation Grants | 16 |
| B. Juvenile Drug Court Implementation Grants | 23 |
| Enhancement Category | 31 |
| A. Single Jurisdiction Drug Court Enhancement Grants | 32 |
| B. Statewide Drug Court Enhancement Grants | 36 |
| Applicant Information Page | 39 |
| Applicant Certifications | 41 |
| Definitions | 44 |
| Program Provisions | 46 |
| Application Review and Award Process | 49 |
| Drug Court Training and Technical Assistance Program | 51 |
| Forms | 61 |
| 1: Applicant Workshops Registration Form | 63 |
| 2: Application for Federal Assistance (SF 424) and Instructions | 64 |
| 3: Assurances | 66 |

| | |
|--|------------|
| 4: Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements | 67 |
| 5: Sample Applicant Authorization Letter | 69 |
| 6: Budget Detail Worksheet and Sample | 70 |
| Appendices | 89 |
| A: Violent Offender Frequently Asked Questions | 91 |
| B: Sample Client Consent Forms | 97 |
| C: Drug Court Grantee Reporting Requirements and Drug Court Grantee Data Collection Survey | 101 |
| D: Process Evaluations and Management Information Systems | 109 |
| E: Drug Court Budgets: Allowable and Unallowable Costs | 115 |
| F: Comprehensive Care Continuum | 123 |
| Resources: Additional Federal Drug Court Funding Sources | 129 |
| A: Bureau of Justice Assistance | 131 |
| Edward Byrne Memorial State and Local Law Enforcement Assistance Fact Sheet | 133 |
| FY 1998 Local Law Enforcement Block Grants Program Fact Sheet | 139 |
| State Offices Administering the Edward Byrne Memorial State and Local Law Enforcement Program | 143 |
| B: Office of Juvenile Justice and Delinquency Prevention | 147 |
| Juvenile Accountability Incentive Block Grants Program Fact Sheet | 149 |
| State Offices Administering the Juvenile Accountability Incentive Block Grants Program | 151 |
| C: Center for Substance Abuse Treatment (CSAT) Substance Abuse Prevention and Treatment Block Grant | 159 |
| State Offices Administering the Center for Substance Abuse Treatment Block Grant Program | 161 |
| Recommended Reading | 171 |
| Addresses on the World Wide Web | 173 |

Introduction

The Drug Court Movement

The emergence of crack cocaine in the mid-1980's had an unprecedented and dramatic impact on the Nation's criminal justice system. In an effort to stem the street drug dealing, and crime, and violence associated with illegal drug use, the arrest and prosecution of drug offenders was sharply escalated. At the same time, penalties for the possession and sale of drugs were toughened, so greater numbers of drug offenders were charged with felonies that carried sentences of incarceration. As a result of the Nation's "War on Drugs," greater numbers of drug offenders were arrested, prosecuted, and convicted; however, drug offenders received few if any treatment services. The result was a revolving-door syndrome, in which drug offenders cycled in and out of the justice system.

The influx of drug offenders to the system severely strained the courts, forcing some to the brink of collapse. In an effort to address growing caseloads, courts employed delay-reduction strategies, including establishing specialized court dockets to expedite drug case processing. These approaches, however, did little to stem the tide of drug offenders into the system, to habilitate drug offenders already in the system, or to reduce recidivism of released offenders.

In 1989, troubled by the devastating impact of drugs and drug-related crime on their criminal justice systems, a few communities began experimenting with an approach to low-level drug offenses that brought significant change to the way the court system does business. This new approach integrated substance abuse treatment, sanctions, and incentives with case processing to place nonviolent drug-involved defendants in judicially supervised habilitation programs. The traditional system had rarely provided substance abuse treatment to defendants in any systematic way and, in many cases, provided little or no threat of sanctions to drug offenders.

The new approach, a significant departure from traditional court practice, was not always widely supported by members of the judiciary, prosecutors, and the defense bar. Gradually, however, judges, prosecutors, and other representatives of the justice system across the country who were struggling with similar issues involving drug offenders began to examine the drug court approach to assess whether replication (or adaptation) might offer them a better response to drug cases.

Since 1989, more than 650 courts have implemented or are planning to implement drug courts to address the problem of substance abuse and crime. Local coalitions of judges, prosecutors, defense attorneys, treatment professionals, law enforcement officials, and others are using the coercive power of the court to force abstinence and to alter behavior with a combination of escalating sanctions, mandatory drug testing, treatment, and strong aftercare programs to teach responsibility and to help offenders reenter the community. Drug courts are among a few recent criminal justice initiatives that have started at the grassroots level and spread across the Nation.

Congress joined local communities in acknowledging the promise of drug courts in habilitating offenders, holding offenders accountable for their actions, and reducing victimization by intervening soon after arrest by enacting the Crime Act of 1994 (Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 U.S.C. 3796ii *et seq.*). Congress authorized the Attorney General to make grants to States, State courts, local courts, units of local government, and Indian tribal governments to establish drug courts. The authority has been delegated to the Assistant Attorney

General, Office of Justice Programs (OJP). The Drug Courts Program Office (DCPO) was established by OJP to administer the Drug Court Grant Program and to provide training, financial and technical assistance, and related programmatic guidance and leadership to communities interested in drug courts.

Important Partnership with Treatment

For drug courts to be most effective, judges must rely on treatment providers and treatment coordinators to assist in developing treatment, habilitation, and supervision plans for each defendant. Treatment is most effective when offenders are correctly matched to the appropriate level of care, as identified through the assessment or diagnostic process. The treatment needs of individuals eligible for the drug court program are assessed, as are any related medical, psychological, and other problems that the treatment program will have to address. Length of stay in treatment and in aftercare are factors associated with positive outcomes and, in particular, with the cessation of drug use, reduction in recidivism rates, and improvement in educational and employment status and family relationships.

In coordination with the drug court judge and other court personnel, treatment and other case management personnel, such as those involved with Treatment Alternatives to Street Crime (TASC) programs, assess clients' treatment needs, track their progress in treatment programs, and determine appropriate levels of treatment services. Supportive social services provide drug court staff with links to employment, educational and vocational placement, family counseling, and housing placement assistance for drug court participants.¹

Drug court practitioners understand that drug addiction is a complex, chronic, relapsing disease and that a comprehensive, sustained continuum of therapeutic interventions and services can increase clients' periods of abstinence and reduce the rate of relapse, rearrest, and incarceration. Therapeutic interventions and services include, but are not limited to, prompt intake and assessment; detoxification, if indicated; and substance abuse treatment, ranging from outpatient to residential services and including a strong focus on therapeutic relapse prevention methodologies.²

Key Components of a Drug Court

In January 1997, DOJ released "Defining Drug Courts: The Key Components," which is based on the experience of the drug court field. The report describes the 10 key components of a drug court and provides performance benchmarks for each component. It was developed through a cooperative agreement between OJP, DCPO, and the National Association of Drug Court Professionals, which convened the Drug Court Standards Committee. The committee comprised drug court practitioners throughout the Nation (judges, prosecutors, defense attorneys, treatment providers, pretrial service officers, and probation officers). The Conference of Chief Justices, the Conference of State Court Administrators, and several states have adopted the key components. More than 14,000 copies of the key components document have been distributed. The document has been used at more than

¹ J.S. Baer and Associates (ed.). *Addictive Behaviors: Across the Life Plan: Prevention, Treatment, and Policy Issues*. Sage Publications, Newbury Park, CA, 1993.

² U.S. Department of Justice, *Defining Drug Courts: The Key Components*, Washington, DC, 1997.

60 Federal, State, or locally sponsored drug court training conferences. The report is available through the National Criminal Justice Reference Service Clearinghouse, at 1-800-851-3420, and on the DCPO home page (<http://www.ojp.usdoj.gov/dcpo>).

As identified by the committee, the 10 key components of a drug court are:

1. Drug courts integrate alcohol and other drug treatment services with justice system case processing.
2. Using a nonadversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.
3. Eligible participants are identified early and promptly placed in the drug court program.
4. Drug courts provide access to a continuum of alcohol, drug, and related treatment and habilitation services.
5. Abstinence is monitored by frequent alcohol and other drug testing.
6. A coordinated strategy governs drug court responses to participants' compliance.
7. Ongoing judicial interaction with each drug court participant is essential.
8. Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
9. Continuing interdisciplinary education promotes effective drug court planning, implementation, and operations.
10. Forging partnerships among drug courts, public agencies, and community-based organizations generates local support and enhances drug court program effectiveness.

FY 2000 Drug Court Grant Program

Background

Programs funded by DCPO (Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 U.S.C. 3796ii *et seq.*) are required by law to target **nonviolent offenders** and, at a minimum, must involve:

- A. Continuing judicial supervision over nonviolent substance-abusing offenders; and
- B. Integrated administration of other sanctions and services in any program, which must include the following:
 - 1. Mandatory periodic testing for the use of controlled or other addictive substances during any period of supervised release or probation;
 - 2. Substance abuse treatment for each participant;
 - 3. Diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements or failure to show satisfactory progress; and
 - 4. Programmatic offender management and aftercare services, such as relapse prevention, health care, education, vocational training, job placement, housing placement, and child care or other family support services for each participant who requires such services.

For this program, the term “drug court” means a specially designed court calendar or docket **(a separate or special jurisdiction court is neither necessary nor encouraged)**.

For this program, the term “violent offender” means a person who either:

- A. Is charged with or convicted of an offense during the course of which
 - 1. The person carried, possessed, or used a firearm or other dangerous weapon;
 - 2. There occurred the use of force against the person of another person; or
 - 3. There occurred the death of, or serious bodily injury to, any person, without regard to whether any of the circumstances described above is an element of the offense or conduct of which or for which the person is charged or convicted; or
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

Applicants must provide written assurance that they will target nonviolent offenders as defined by statute. Further information on the Violent Offender Prohibition may be found in Appendix A.

In the past 6 years, significant changes have occurred in the drug court field. The substantial increase in the number of drug courts has led to more collaboration among drug courts and between drug courts and State agencies. Innovations in the drug court field have resulted in the development of partnerships between drug courts and community-oriented policing, local school systems, local mental health agencies, public housing, and community-based organizations. For example, a juvenile drug court conducts status reviews of clients in the high school, and a prosecutor's office gained public support to pass a local sales tax to support the operations of the drug court. State administrative offices of the courts and State alcohol and drug abuse agencies have become proactive members of the drug court movement. Neighboring drug courts are collaborating to achieve greater efficiency by developing joint information systems or by sharing treatment or other resources.

From FY 1995 through FY 1999, the DCPO awarded more than \$100 million to approximately 550 jurisdictions for the planning, implementation, or enhancement of adult, juvenile, tribal, or family drug courts. More than 250 new drug courts have been implemented as a result of DCPO funding. In FY 2000, the appropriation for this program is \$40 million.

The FY 2000 Drug Court Grant Program

The FY 2000 Drug Court Grant Program is responsive to, and supportive of, developments in the field. As a result, the DCPO announce the availability of implementation and enhancement grants. Implementation grants are available for up to \$500,000 for up to 3 years. There are separate categories this year for communities applying to implement adult drug courts and juvenile drug courts.

Enhancement grants are available for up to \$300,000 for up to 2 years. There are separate categories for single drug court enhancement and statewide enhancements. DCPO has a special interest in encouraging communities to develop drug courts that give special attention to alcohol problems in addition to drugs, for example, driving under the influence (DUI) or driving while intoxicated (DWI) drug courts.

New Adult, Juvenile, or Family Drug Court Planning Initiative

This year DCPO is launching the Drug Court Planning Initiative (DCPI) to assist communities in the process of planning drug courts. DCPI will consist of a series of three workshops for communities that want to plan drug courts. All communities will be served. As part of the DCPI, communities will **not** need to submit applications for planning grants, provide 25 percent local matches, or compete for funding to receive training and technical assistance on planning adult, juvenile, or family drug courts. **Your team's attendance at each workshop is free.**

DCPI will pay for the workshop and your team's travel costs (airfare, ground transportation, hotel, and meals), based on Federal travel regulations for up to 10 team members. **To be eligible to participate in the DCPI, the team must consist of the judge, prosecutor, public defender, treatment representative, drug court coordinator, and a research or management information system specialist. If you are planning a juvenile drug court, the team also must consist of a school representative.**

Each workshop will build upon the foundation of the previous workshop. Thus, a drug court team must attend all three workshops. There will be specialized series of workshops about how to plan adult, juvenile, and family drug courts. Each workshop will include the direct observation of a drug court, state-of-the-art information on drug courts, and opportunities to work with and learn from drug court practitioners. Technical assistance will be available free of charge to communities participating in the workshops.

These workshops will begin in November 2000 and end in November 2001. The dates and locations of the workshops will be announced in May 2000. To participate in the planning workshops, simply contact the DCPI at 1-800-851-3420 or through the Internet at www.ojp.usdoj/dcpo after **February 1, 2000** and before March 31, 2000, to be placed on the mailing list. In May 2000, you will receive the following information:

- (1) A registration form with instructions.
- (2) An announcement of the dates and locations of the three workshops. *Communities will select the workshops they would like to attend on a first-come, first-served basis.*
- (3) Information on technical assistance opportunities available to communities participating in the planning initiative.

Registration forms must be returned by May 31, 2000. Entire teams (judge, prosecutor, public defender, treatment representative, drug court coordinator, and a research or management information system specialist, and, for juvenile courts, a school representative) that participate in all three workshops will receive a certificate and priority in the implementation category in the fiscal year 2002 DCPO application.

New Tribal Drug Court Guideline and Application Kit

Tribal communities interested in planning, implementing, or enhancing an adult or juvenile tribal drug court will receive a separate application. The application kit is available through the Internet at www.ojp.usdoj.gov/dcpo or by calling 1-800-421-6770.

The following chart summarizes the FY 2000 application kit:

Drug Court Grant Program Application Kit Overview

| Type of Grant* | Total Award Amount for Grant Period (up to) | Grant Period (up to) | For further information, see pages. . . |
|------------------------------------|--|---------------------------------|--|
| Adult Drug Court Implementation | \$500,000 | 3 years | 16 |
| Juvenile Drug Court Implementation | \$500,000 | 3 years | 23 |
| Single Drug Court Enhancement | \$300,000 | 2 years | 32 |
| Statewide Drug Court Enhancement | \$300,000 | 2 years | 36 |

*For information about planning a drug court, see above.

For further information about the Drug Court Grant Program, contact:

Marilyn M. Roberts, Director
Drug Courts Program Office
Office of Justice Programs
810 Seventh Street, N.W.
Washington, DC 20531
202-616-5001

Eligible Applicants

For the purposes of this application kit, eligible applicants are States, State courts, local courts, counties, other units of local government, and Indian tribal governments, acting directly or through agreement with other public or private entities. Definitions of eligible applicants are provided on page 44. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants.

For an application from a **subunit of government** (*e.g.*, county probation department, district attorney's office, pretrial services agency) to be considered, it must be authorized as representing an eligible applicant (described above). For example, the county executive may designate the county probation or county district attorney's office as its representative for the purpose of application. A model authorization letter can be found on page 69.

Any community that currently has or previously had a grant from DCPO may submit an application; however, a strong case must be made for the need for additional resources from the DCPO.

Implementation Category

Implementation grants are available to any jurisdiction that has completed a substantial amount of planning and is ready to implement a drug court. Implementation grants will be awarded for up to \$500,000 and for up to a 3-year project period. Jurisdictions may apply for a 1-, 2-, or 3-year project period; however, applicants should carefully review the “Budget” section for more specific information on the project requirements associated with each project period.

Jurisdictions that received a Planning grant from the Drug Courts Program Office and have completed the OJP-sponsored training workshops will be given special consideration for funding.

Purpose

The purpose of Implementation grants is to assist jurisdictions in developing drug court programs that are cost-effective and are based on the 10 Key Components of a Drug Court. Thus, drug court programs supported with Implementation grant funds should:

- A. Promote public safety and contribute to a reduction in substance abuse and recidivism among nonviolent adult and juvenile substance-abusing offenders.
- B. Reduce reliance on incarceration within existing correctional systems and local jails.
- C. Use a nonadversarial approach to provide:
 - 1. Early identification, referral, and screening; early and frequent judicial supervision; special case processing; and random and frequent drug testing;
 - 2. Coordinated, managed, comprehensive, and appropriate substance abuse treatment services, as well as a full array of ancillary services ranging from , but not limited to, mental health, educational, vocational, public housing, and family health care (refer to Appendix F: Comprehensive Care Continuum);
 - 3. Regular staffings and status hearings at which the supervising judicial official reviews the progress (or lack thereof) of each participating defendant;
 - 4. Appropriate incentives and sanctions, including the possibility of confinement, incarceration, or prosecution in the event of a defendant’s noncompliance with drug court program requirements; and
 - 5. Ongoing criminal justice supervision and case management through the pretrial, probation, or other supervised released programs, using monitoring, tracking, and case management.

-
- D. Establish monitoring and evaluation measures that will demonstrate the effectiveness of the program.
 - E. Demonstrate coordination and collaboration with existing community resources and initiatives under way at the Federal, State, or local level to meet the needs of this population and forge new partnerships among criminal justice agencies (law enforcement, prosecution, defense, pretrial, probation), human services agencies, and community-based organizations to enhance program effectiveness.

A. Adult Drug Court Implementation Grants

Program Design Narrative

The program design should describe the adult drug court project to be implemented and include the following information:

- A. ***Project Abstract*** (1 page): Summarize the goals and objectives of the grant request in **no more than 1 page**.
- B. ***Statement of the Problem*** (one-half to 1 page): Briefly describe the nature and scope of the problem in your jurisdiction that will be addressed by this project. It may help to frame the issues by asking:
 - 1. Is there a problem with how cases involving substance abuse are handled in the existing system?
 - 2. How will the drug court change this?
 - 3. Where, within the system, can the drug court have the greatest impact?
 - 4. Whom will the drug court serve?

Information that may be included in this section includes:

- 1. A description of how the current system operates;
 - 2. The availability of resources in the community;
 - 3. The substance abuse patterns among adult offenders in the jurisdiction and the degree to which they affect the community; and
 - 4. The volume of arrests and crime patterns for adult offenders in the community.
- C. ***Goals and Objectives*** (1 page): Provide a broad statement of the desired results of the proposed project and identify the specific goals and objectives to be achieved. Goals and objectives should be described in terms of measurable performance indicators, including a discussion of how the achievement of goals will be measured. To begin the process of goal setting, it may be helpful to frame the issue by asking:
 - 1. What problem will be addressed by the drug court?
 - 2. What are the expected outcomes for the drug court?
 - 3. What impact will the program have on the adult offender and the community?
 - 4. How will we know that our goals have been achieved?

D. **Description of the Drug Court Program** (8 to 10 pages): Describe the drug court program that will be implemented by including information **addressing** the following:

1. **Screening and Eligibility**

- (a) What subgroup of adult offenders will be eligible to receive the services of the drug court?
- (b) How are eligible clients identified, screened, and referred to the drug court?
- (c) Does the target population accurately reflect the arrestee population in the community?
- (d) What is the average length of time between arrest and first appearance in the drug court?

2. **Assessments**

- (a) Who is responsible for conducting a clinical assessment of the client?
- (b) What are the assessment criteria? What instruments are used to assess the strengths and needs of the client?
- (c) What is the time period for conducting an initial assessment?

3. **Structure of the Drug Court** (*i.e.*, deferred prosecution, postadjudication, combination)

4. **Length of the Program**

5. **Case Processing**

- (a) How does a case enter the drug court?
- (b) How is the case resolved as a result of the client's successful or unsuccessful completion of the drug court program?

6. **Service Delivery Plan** (Applicants are strongly encouraged to review Appendix F for guidance on the components of a comprehensive treatment continuum.)

Substance Abuse Treatment Services

- (a) Does the drug court use one treatment provider, or multiple providers?
- (b) Describe the treatment providers (*e.g.*, public health organization, private nonprofit, for profit).
- (c) How do the treatment providers exchange information about a client's progress with members of the drug court team?
- (d) Is an individualized treatment plan developed for clients that addresses their strengths and needs? If so, how often is this plan reviewed and/or revised?

-
- (e) Describe how the treatment services will serve clients from the different cultures in the community.
 - (f) Is the ethnicity of the treatment staff compatible with the target population?
 - (g) Are gender- and age-specific treatments available?
 - (h) Describe in detail the treatment protocol (*i.e.*, phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
 - (i) Do treatment services include (and, if so, how frequently):
 - group counseling sessions,
 - individual counseling sessions,
 - family counseling sessions?
 - (j) Does the program address anger management, violence prevention, victimization issues, and values formation?
 - (k) Describe the structured aftercare component of the drug court program.

Educational and Vocational Services

- (a) Describe how the drug court will meet these needs.
- (b) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of collateral services?

Primary and Mental Health Care Services

- (a) Describe how the drug court will meet these needs.
- (b) Describe the role of the local medical and mental health community with the drug court program.
- (c) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of collateral services?

Collateral Services

- (a) Describe the collateral services available to clients. Collateral services may include, but are not limited to:
 - public housing,
 - transportation,
 - mentoring programs, and
 - community service.
- (b) Who is responsible for working with the clients to identify collateral services needs and to ensure that these needs are met?
- (c) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of collateral services?

7. Case Management

- (a) Who is responsible for providing case management?
- (b) How frequently are cases monitored?
- (c) What is the approximate caseload per case manager?

8. Judicial Supervision

- (a) Does the drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of the clients? If not, how is this information provided to the judge?
- (b) How frequently does the client appear before the judge?
- (c) Who, other than the judge and the client, participates in the status hearings (e.g., prosecutor, defense attorney, probation officers, treatment counselors)?

9. Drug Testing

- (a) How frequently are clients tested for drug use?
- (b) Who is responsible for administering the drug tests?
- (c) Are the drug tests administered randomly?
- (d) Are the drug tests observed as they are administered?

10. Incentives and Sanctions

- (a) What graduated incentives and sanctions are used in the program?
- (b) What are the criteria for applying sanctions and incentives?
- (c) How soon after an action (positive or negative) does the client receive an incentive or sanction?

11. Graduation Requirements

12. Expulsion Criteria

- 13. **Confidentiality:** Provide a copy of the **consent form** that will be used to ensure patient confidentiality, as required by 42 USC 290dd-2, and the regulations implementing these laws at 42 CFR 2. For further information see *Drug Court Resource Series: Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*, U.S. Department of Justice, 1999, NCJ 176977. The sample consent forms from this publication appear in Appendix B.

-
14. **Community links** that have been or will be established to support the program. (Community agencies and organizations **may include, but are not limited to:** faith organizations, civic groups, businesses, social service agencies, health and mental health agencies, Urban League, hospitals, community foundations, media outlets, universities and colleges, bar associations, etc.)

- E. ***Roles and Responsibilities of the Drug Court Team*** (1 to 2 pages): Identify each of the members of the drug court team and describe their roles and responsibilities. Also describe the mechanisms that have been or will be established to ensure effective communication and coordination within the team. The six key drug court team members must include the following: judge, prosecutor, defense attorney, treatment representative, researcher/evaluator/management information specialist, and drug court coordinator.
- F. ***Evaluation and Management Information System (MIS) Plan*** (5 to 8 pages): Identify the independent evaluator who will work with the drug court to conduct the required process evaluation. If an evaluator has not been identified, describe how the drug court will work to obtain the services of an evaluator. Describe how the process evaluation will assist the drug court in engaging the effectiveness of the court (meeting its operational and administrative goals), and, if warranted, adjusting policies and procedures. Identify the specific information that will be collected and analyzed as part of the process evaluation. Describe the specific data elements that will be collected and how these data will be collected for use in program operation and management. The description should include the specific quantifiable goals that will be tracked and the method for measuring progress toward those goals. **The Drug Court Grantee Data Collection Survey (See Appendix C) can be used as a starting point to identify these data elements.** (Applicants are strongly encouraged to review Appendix D for guidance on process evaluations and management information systems.)

IMPORTANT NOTE: The page limits that appear after each section in the Program Design Narrative are guides. Pages in excess of the total page limit **will not be considered**. Page numbering is strongly encouraged for the Program Design Narrative section of your application. Any appendices or attachments other than those required **will not be considered**.

Training and Technical Assistance

Applicants **must** include a line item in the budget for training and for technical assistance or for members of the drug court team to visit an operational drug court. The DCPO Drug Court Training and Technical Assistance Initiative provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance are designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs. (See page 51 for more information on the Drug Court Training and Technical Assistance Program.)

Attachments

- A. ***Time and Task Plan:*** Provide a plan for implementing the project to include a detailed time schedule. This plan must cover the entire grant period and include the following information:
1. The goals of the project. Goals must be realistic, quantifiable, and attainable;
 2. The specific objectives and activities associated with each goal;
 3. The time frames associated with each activity; and
 4. The persons responsible for ensuring that the activities are accomplished.
- B. ***Letters of Support:*** Applicants are required to submit a letter of support from each of the six key drug court team members: judge, prosecutor, defense attorney, treatment representative, researcher/evaluator/management information specialist, and drug court coordinator. All letters of support should be written by the individuals who sign them and should include the following information:
1. An expression of support for the project;
 2. Willingness to participate in development of the project;
 3. Current role and responsibilities in the planning process;
 4. Expected responsibilities and resources when the drug court is operational; and
 5. Approximate percentage of time that will be devoted to both the planning and operation of the drug court.
- C. ***Budget***
1. Provide a Budget Detail Worksheet (as found in Forms on page 70), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide the following:
 - (a) A complete Budget Detail Worksheet and Budget Narrative for each Year 1 of the project.
 - (b) Complete Budget Detail Worksheet and Budget Narrative for Year 2 of the project; and
 - (c) Complete Budget Detail Worksheet and Budget Narrative for Year 3 of the project.
 2. The budget must be complete and reasonable and must comply with the criteria set forth in Appendix E: Drug Court Budgets: Allowable and Unallowable Costs.
 3. Consideration of the reasonableness of a budget will be based, in part, on an examination of the ratio of the number clients to be served by the drug court to the amount of Federal funds requested.

It is imperative that the amount of Federal funds requested in box #15(a) of the Application for Federal Assistance (SF 424) reflect the total amount of Federal funds over the entire 1-, 2-, or 3-year project period.

Similarly, the amount given in box #15(b) of the Application for Federal Assistance (SF 424) must reflect the entire 25 percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the Federal request and the match amount.

Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs, with a 25 percent match requirement. As required by statute, a portion of the match must be cash. The term “portion” is not defined. Please refer to page 78 for more information on this Match Requirement.

A grant recipient’s access to 2nd and 3rd year funds will be contingent upon DCPO review and approval of the following:

- A. A Policies and Procedures Manual;
- B. A Time and Task Plan that has been updated and revised as needed; and
- C. A strategy that describes the jurisdiction’s plan for sustaining the drug court program after Federal financial assistance has ended.

B. Juvenile Drug Court Implementation Grants

With the success of drug courts over the past 10 years in reducing recidivism, the application of drug court principles to populations in the juvenile courts was the next logical step. Applying drug court principles to juvenile populations, however, is not as easy as replicating the adult model. The circumstances and needs of youth and their families are different from those of adult criminal offenders. Accordingly, implementation of a drug court aimed at youth is significantly different from one aimed at adults.

Because juvenile drug courts are still relatively young in their development, much remains to be learned about how practitioners can most effectively intervene with juvenile populations in a drug court setting. What we have learned from the emergence of juvenile drug courts over the past several years is that in applying the drug court concept to juvenile populations, it is essential that the program must incorporate individually tailored, comprehensive treatment that draws on the strengths, and addresses the needs, of participants and their families. In addition, engagement of the neighborhood and broader community is important to improving the likelihood of long-term success with the juvenile substance-abusing offender.

Juvenile drug courts are fundamentally different from their adult counterparts, in part because of the complexity of working with youth and their families. In contrast to adults, youth often are not addicted to drugs in the traditional sense, although they may be dependent upon substances to function on a daily basis. They usually live within families, however defined, and are required to abide by laws specific to them, such as the law requiring school attendance. Furthermore, they are still developing the cognitive, social, and emotional skills necessary to lead productive lives, the outcome of which are significantly influenced by their families, peers, schools, and community relationships. They often use drugs for vastly different reasons than adults. These issues present unique challenges to practitioners as they design and implement juvenile drug court programs. Finally, an effective juvenile drug court must not only serve juveniles but their entire families. This requires a significant shift in focus from a single participant to a family and an expansion of the comprehensive continuum of care from a youth to a family.

A jurisdiction planning or implementing a juvenile drug court should take very special care to recognize the differences between adult and juvenile drug courts.

Program Design Narrative

The program design should describe the juvenile drug court project to be implemented and include the following information:

- A. ***Project Abstract*** (1 page): Summarize the goals and objectives of the grant request in **no more than 1 page**.
- B. ***Statement of the Problem*** (one half to 1 page): Briefly describe the nature and scope of the problem in your jurisdiction that will be addressed by this project. It may help to frame the issues by asking:

-
1. Is there a problem with the way cases involving substance abuse are handled in the existing system?
 2. How will the drug court change this?
 3. Where, within the system, can the drug court have the greatest impact?
 4. Whom will the drug court serve?

Information that may be included in this section includes:

1. A description of how the current system operates;
2. The availability of resources in the community;
3. The substance abuse patterns among juveniles in the jurisdiction and the degree to which they affect families and the community;
4. The volume of arrests and crime patterns for juvenile offenders in the community; and
5. The degree to which families are involved in the current system (*i.e.*, a family that has a case pending in family, criminal, or juvenile court).

C. ***Goals and Objectives*** (1 page): Provide a broad statement of the desired results of the proposed project and identify the specific goals and objectives to be achieved. Goals and objectives should be described in terms of measurable performance indicators, including a discussion of how the achievement of goals will be measured. When measuring success with juveniles, it is important not only to include indicators of recidivism and substance abuse relapse, but also to include indicators of improved individual and family functioning (*i.e.*, a decrease in police calls to the residence or the completion of a vocational training program). To begin the process of goal setting, it may be helpful to frame the issue by asking:

1. What problem will be addressed by the juvenile drug court?
2. What are the expected outcomes for the juvenile drug court?
3. What impact will the program have on the juvenile, the family, and the community?
4. How will we know that our goals have been achieved?

D. ***Description of the Juvenile Drug Court Program*** (8 to 10 pages): Describe the juvenile drug court program that will be implemented by including information **addressing** the following:

1. **Screening and Eligibility**

- (a) What subgroup of juveniles and their families will be eligible to receive the services of the juvenile drug court?
- (b) How are eligible juveniles identified, screened, and referred to the juvenile drug court?

-
- (c) Does the target population accurately reflect the arrestee population in the community?
 - (d) What is the average length of time between arrest and first appearance in the juvenile drug court?

2. **Assessments**

- (a) Who is responsible for conducting a clinical assessment of the juvenile and their family?
- (b) What are the assessment criteria? What instruments are used to assess the strengths and needs of the juvenile and their family?
- (c) What is the time period for conducting an initial assessment?
- (d) What role does the family play in the assessment process?

3. **Structure of the Juvenile Drug Court** (*i.e.*, deferred prosecution, postadjudication, combination)

4. **Length of the Program**

5. **Case Processing**

- (a) How does a case enter the juvenile drug court?
- (b) How is the case resolved as a result of the juvenile's successful or unsuccessful completion of the juvenile drug court program?

6. **Service Delivery Plan** (Applicants are strongly encouraged to review Appendix F for guidance on the components of a comprehensive treatment continuum)

Substance Abuse Treatment Services

- (a) Does the juvenile drug court use one treatment provider, or multiple providers?
- (b) Describe the treatment providers (*e.g.*, public health organization, private nonprofit, for profit).
- (c) Describe the treatment providers' ability to provide developmentally based services to juveniles and to their families.
- (d) How do the treatment providers exchange information about a client's progress with members of the juvenile drug court team?
- (e) Is an individualized treatment plan developed for clients and their families that addresses their strengths and needs? If so, how often are these plans reviewed and/or revised?

-
- (f) Describe how the treatment services will serve clients from the different cultures in the community.
 - (g) Is the ethnicity of the treatment staff compatible with the target population?
 - (h) Are gender- and age-specific treatments available?
 - (i) Describe in detail the treatment protocol (*i.e.*, phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
 - (j) Do treatment services include (and, if so, how frequently): group counseling sessions, individual counseling sessions, family counseling sessions?
 - (k) Does the program address anger management, violence prevention, victimization issues, and values formation?
 - (l) Describe the structured aftercare component of the juvenile drug court program.
 - (m) Describe how the family will be engaged to participate in the juvenile substance abuse treatment plan, and services they will receive.
 - (n) Can a family member be placed in a treatment program if needed?

Educational and Vocational Services

- (a) Describe how the juvenile drug court will meet these needs.
- (b) Describe the role of the local education system with the juvenile drug court program.

Primary and Mental Health Care Services

- (a) Describe how the juvenile drug court will meet these needs for the juvenile and the family.
- (b) Describe the role of the local medical and mental health community with the juvenile drug court program.
- (c) To what extent are community resources available, and being leveraged by the juvenile drug court, to assist in the provision of collateral services?

Collateral Services

- (a) Describe the collateral services available to clients. Collateral services may include, but are not limited to:
 - public housing,
 - transportation,
 - literacy programs,
 - mentoring programs,

-
- parks and recreation programs,
 - community service, and
 - family case conferencing.
- (b) Who is responsible for working with juveniles to identify collateral services needs and to ensure that these needs are met?
- (c) To what extent are community resources available, and being leveraged by the juvenile drug court, to assist in the provision of collateral services?

7. Case Management

- (a) Who is responsible for providing case management?
- (b) How frequently are cases monitored?
- (c) What is the approximate caseload per case manager?
- (d) Does case management include visits to the home?

8. Judicial Supervision

- (a) Does the juvenile drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of juveniles and their families? If not, how is this information provided to the judge?
- (b) How frequently does the juvenile appear before the judge? Is the family required to attend?
- (c) Who, other than the judge and the juvenile, participates in the status hearings (*e.g.*, prosecutor, defense attorney, probation officers, treatment counselors)?
- (d) Are the status hearings at a time when the juvenile and the family can attend?

9. Drug Testing

- (a) How frequently are clients tested for drug use?
- (b) Who is responsible for administering the drug tests?
- (c) Are the drug tests administered randomly?
- (d) Are the drug tests observed as they are administered?
- (e) Can the family members be tested for drug use?

10. Incentives and Sanctions

- (a) What graduated incentives and sanctions are used in the program?
- (b) What are the criteria for applying sanctions and incentives?
- (c) How soon after an action (positive or negative) does the client receive an incentive or sanction?

11. Graduation Requirements

12. Expulsion Criteria

13. **Confidentiality:** Provide a copy of the **consent form** that will be used to ensure patient confidentiality, as required by 42 USC 290dd-2, and the regulations implementing these laws at 42 CFR 2. For further information see *Drug Court Resource Series: Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*, U.S. Department of Justice, 1999, NCJ 176977. The sample consent forms from this publication appear in Appendix B.

14. **Community links** that have been or will be established to support the program. (Community agencies and organizations **may include, but are not limited to:** faith organizations, civic groups, businesses, social service agencies, health and mental health agencies, Boys and Girls Clubs, Urban League, hospitals, community foundations, media outlets, universities and colleges, bar associations, etc.)

- E. ***Roles and Responsibilities of the Juvenile Drug Court Team*** (1 to 2 pages): Identify each of the members of the juvenile drug court team and describe their roles and responsibilities. Also describe the mechanisms that have been or will be established to ensure effective communication and coordination within the team. The seven key juvenile drug court team members must include the following: judge, prosecutor, defense attorney, treatment representative, school representative, researcher/evaluator/management information specialist, and juvenile drug court coordinator.
- F. ***Evaluation and Management Information System Plan*** (5 to 8 pages): Identify the independent evaluator who will work with the juvenile drug court to conduct the required process evaluation. If an evaluator has not been identified, describe how the juvenile drug court will work to obtain the services of an evaluator. Describe how the process evaluation will assist the juvenile drug court in engaging the effectiveness of the court (meeting its operational and administrative goals), and, if warranted, adjusting policies and procedures. Identify the specific information that will be collected and analyzed as part of the process evaluation. Describe the specific data elements that will be collected and how these data will be collected for use in program operation and management. The description should include specific quantifiable goals and the method for measuring progress toward those goals. **The Drug Court Grantee Data Collection Survey (See Appendix C) can be used as a starting point to identify these data elements.** (Applicants are strongly encouraged to review Appendix D for guidance on process evaluations and management information systems.)

IMPORTANT NOTE: The page limits that appear after each section in the Program Design Narrative are guides. Pages in excess of the total page limit **will not be considered**. Page numbering is strongly encouraged for the Program Design Narrative section of your application. Any appendices or attachments other than those required **will not be considered**.

Training and Technical Assistance

Applicants **must** include a line item in the budget for training and for technical assistance or for members of the juvenile drug court team to visit an operational juvenile drug court. The DCPO Drug Court Training and Technical Assistance Initiative provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance are designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective juvenile drug court programs. (See page 51 for more information on the Drug Court Training and Technical Assistance Program.)

Attachments

- A. ***Time and Task Plan:*** Provide a plan for implementing the project to include a detailed time schedule. This plan must cover the entire grant period and include the following information:
1. The goals of the project. Goals must be realistic, quantifiable, and attainable;
 2. The specific objectives and activities associated with each goal;
 3. The time frames associated with each activity; and
 4. The persons responsible for ensuring that the activities are accomplished.
- B. ***Letters of Support:*** Applicants are required to submit a letter of support from each of the seven key juvenile drug court team members: judge, prosecutor, defense attorney, treatment representative, school representative, researcher/evaluator/management information specialist, and juvenile drug court coordinator. All letters of support should be written by the individuals who sign them and should include the following information:
1. An expression of support for the project;
 2. Willingness to participate in development of the project;
 3. Current role and responsibilities in the planning process;
 4. Expected responsibilities and resources when the juvenile drug court is operational;
 5. Approximate percentage of time that will be devoted to both the planning and operation of the juvenile drug court; and

C. Budget:

1. Provide a Budget Detail Worksheet (as found in Forms on page 70), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide the following :
 - (a) A complete Budget Detail Worksheet and Budget Narrative for each Year 1 of the project.
 - (b) Complete Budget Detail Worksheet and Budget Narrative for Year 2 of the project; and
 - (c) Complete Budget Detail Worksheet and Budget Narrative for Year 3 of the project.
2. The budget must be complete and reasonable and must comply with the criteria set forth in Appendix E: Drug Court Budgets: Allowable and Unallowable Costs.
3. Consideration of the reasonableness of a budget will be based, in part, on an examination of the ratio of the number of juveniles and family members to be served by the juvenile drug court to the amount of Federal funds requested.

It is imperative that the amount of Federal funds requested in box #15(a) of the Application for Federal Assistance (SF 424) reflect the total amount of Federal funds over the entire 1-, 2-, or 3-year project period.

Similarly, the amount given in box #15(b) of the Application for Federal Assistance (SF 424) must reflect the entire 25 percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the Federal request and the match amount.

Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs, with a 25 percent match requirement. As required by statute, a portion of the match must be cash. The term “portion” is not defined. Please refer to page 78 for more information on this Match Requirement.

A grant recipient’s access to 2nd and 3rd year funds will be contingent upon DCPO review and approval of the following:

- A. A Policies and Procedures Manual
- B. A Time and Task Plan that has been updated and revised as needed; and
- C. A strategy that describes the jurisdiction’s plan for sustaining the juvenile drug court program after Federal financial assistance has ended.

Enhancement Category

Enhancement grants are available to any jurisdiction that already has a fully operational drug court and wants to improve the delivery of services or to enhance the existing drug court through additional services. Jurisdictions that have what they consider to be a “pilot” program should not apply in this category. Rather, jurisdictions with pilot drug court programs should consider applying for an Implementation grant. Enhancement grants will be awarded for up to \$300,000 and for up to a 2-year project period. Additionally, Enhancement grants are available to State level agencies such as the Administrative Office of the Courts or the Alcohol and Other Drug Agency for the purpose of establishing an evaluation and/or automated data collection system initiative or providing statewide training or technical assistance. Jurisdictions may apply for a 1- or 2-year project period; however, applicants should carefully review the “Budget” section for more specific information on the project requirements associated with each project period. Please note that jurisdictions applying for funds to establish an automated data collection system must provide written certification that they will communicate with their state designated “point of contact” about their information technology plans. Please refer to page 43 for more information on this Information Technology Applicant Certification.

A. Single Jurisdiction Drug Court Enhancement Grants

Purpose

The purposes of Single Jurisdiction Enhancement grants are to:

- A. Continue program operation and/or to enhance the resources available to the drug court.
- B. Provide additional services to drug court clients in an effort to increase the likelihood of successful rehabilitation.
- C. Develop training programs to teach criminal and juvenile justice professionals, treatment providers, communities, researchers, and others about the drug court philosophy or the components of a drug court program.
- D. Conduct process or outcome evaluations. Evaluation plans must incorporate the principles set forth in Appendix D.
- E. Develop and implement an automated data collection system, or improve an existing system, for the drug court program.

Program Design Narrative

- A. **Project Abstract** (1 page): Summarize the goals and objectives of the grant request in **no more than 1 page**.
- B. **Description of the Type of Enhancement** (4 to 5 pages):
 - 1. If the application is to continue program operation or to enhance the resources available to the drug court, provide a full description of how the program will be continued or how resources will be enhanced. The description should include why the funds are needed, what problems will be addressed by continuing the program and/or enhancing the resources, the goals and objectives of the proposed enhancement, and how the drug court clients will benefit from the continuation of the program or the enhancement of resources.
 - 2. If the application is to provide additional services to drug court clients, describe the services. The description should include a justification of the need for the additional services, what problems will be addressed by the provision of additional services, the goals and objectives of the proposed enhancement, and how these additional services will benefit the drug court clients.
 - 3. If the application is to develop training programs for drug court practitioners, provide a full description of the proposed training program. The description should include why the funds are needed, the goals and objectives of the training, the planned target audience, how the

training programs will be organized, the intended impact of the training, how the training programs will be evaluated, and the intended follow-up after the training events. The application also should address how the training programs will incorporate the 10 key components of a drug court (see the OJP publication “Defining Drug Courts: The Key Components”).

If the application requests funds for drug court practitioners to attend training programs, provide information on the subject matter of the programs to be attended, who will attend them, and what the practitioners will gain from attendance.

4. If the application is to conduct a process or outcome evaluation, identify the independent evaluator who will work with the drug court to conduct the required process evaluation. If an evaluator has not been identified, describe how the drug court will obtain the services of an evaluator. Describe how the process evaluation will assist the drug court in learning about how it is meeting its operational and administrative goals, and in adjusting policies and procedures, if warranted. Identify the specific information that will be collected and analyzed as part of the process evaluation. Describe the specific data elements that will be collected and how these data will be collected for use in program operation and management. The description should include specific quantifiable goals and the method for measuring progress toward those goals. The Drug Court Grantee Data Collection Survey (see Appendix C) should be used as a guide to identifying these data elements. (Applicants are strongly encouraged to review Appendix D for guidance on process evaluations and management information systems.) Applicants must also comply with the Human Subject Testing requirements as set forth on page 43. The evaluation design must be submitted to the DCPO for review and approval if the grant is awarded.
5. If the application is to develop and implement an automated management information system (MIS), provide a full description of the proposed MIS. The description should include why the funds are needed, what problem will be addressed, how information currently is being collected and analyzed, who will have direct on-line access to the MIS, who will enter data into the MIS, how the MIS development will be organized, who will be responsible for the project, if the MIS development will be integrated into existing systems, if and how the MIS development will expand existing capabilities, identification of consultants or trainers, and a description of how the consultants or trainers will be used. Systems developed must be capable of collecting the data required for submission in the Drug Court Grantee Data Collection Survey (see Appendix C) and to support national evaluation activity (see Appendix D).

IMPORTANT NOTE: If the jurisdiction requesting funds in this category has already received a DCPO Implementation or Enhancement grant, a strong justification must be made for the need for this grant along with a solid explanation as to why State or local funds will not support this initiative. In addition, a clear explanation about when State or local funds will be available for this endeavor must be provided.

IMPORTANT NOTE: The page limits that appear after each section in the Program Design Narrative should serve as a guide. Pages in excess of the total page limit **will not be considered**. Page numbering is strongly encouraged for the Program Design Narrative section of your application. Any appendices or attachments other than those required **will not be considered**.

Attachments

- A. ***Time and Task Plan:*** Provide a plan for the enhancement project to include a detailed time schedule. This plan must cover the entire grant period and include the following information:
1. The goals of the project. Goals must be realistic, quantifiable, and attainable;
 2. The specific objectives and activities associated with each goal;
 3. The time frames associated with each activity; and
 4. The persons responsible for ensuring that the activities are accomplished.
- B. ***Policies and Procedures Manual:*** Applicants must submit a Policies and Procedures Manual as an appendix to their application for a Single Jurisdiction Enhancement grant.
- C. ***Letters of Support:*** Applicants are required to submit a letter of support from each of the six key drug court team members: judge, prosecutor, defense attorney, treatment researcher/evaluator, and drug court coordinator. All letters of support should be written by the individuals who sign them and should include the following information:
1. An expression of support for the project;
 2. Willingness to participate in development of the project;
 3. Current role and responsibilities in the planning process;
 4. Expected responsibilities and resources when the drug court is operational;
 5. Approximate percentage of time that will be devoted to both the planning and operation of the drug court; and
 6. Willingness to participate in the required OJP-sponsored technical assistance trainings and workshops.
- D. ***Budget***
1. Provide a Budget Detail Worksheet (as found in Forms on page 78), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide the following:
 - (a) Complete Budget Detail Worksheet and Budget Narrative for each Year 1 of the project; and
 - (b) Complete Budget Detail Worksheet and Budget Narrative for Year 2 of the project.
 2. The budget must be complete and reasonable and must comply with the criteria set forth in Appendix E: Drug Court Budgets: Allowable and Unallowable Costs.

It is imperative that the amount of Federal funds requested in box #15(a) of the Application for Federal Assistance (SF 424) reflect the total amount of Federal funds over the entire 1- or 2-year project period.

Similarly, the amount given in box #15(b) of the Application for Federal Assistance (SF 424) must reflect the entire 25 percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the Federal request and the match amount.

Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs, with a 25 percent match requirement. As required by statute, a portion of the match must be cash. The term “portion” is not defined. Please refer to page 78 for more information on this Match Requirement.

B. Statewide Drug Court Enhancement Grants

Purpose

The purpose of a Statewide Enhancement grant is to:

- A. Develop training programs to teach criminal and juvenile justice professionals, treatment providers, communities, researchers, and others about the drug court philosophy and/or the components of a drug court program.
- B. Conduct process or outcome evaluations. Evaluation plans must incorporate the principles set forth in Appendix D.
- C. Develop and implement an automated data collection system, or improve an existing system, for the drug court program.

Program Design Narrative

- A. ***Project Abstract*** (1 page): Summarize the goals and objectives of the grant request in **no more than 1 page**.
- B. ***Description of the Drug Court Movement in the State*** (3 to 4 pages): Identify the number of operational drug courts in the State and provide assurance that each of these programs has incorporated the 10 Key Components set forth in the OJP publication “Defining Drug Courts: The Key Components” (see page 4).
- C. ***Description of the Type of Enhancement*** (4 to 5 pages):
 - 1. If the application is to develop training programs for drug court practitioners, provide a full description of the proposed training program. The description should include why the funds are needed, the goals and objectives of the training, the planned target audience, how the training programs will be organized, the intended impact of the training, how the training programs will be evaluated, and the intended follow-up after the training events. The application also should address how the training programs will incorporate the 10 key components of a drug court (see the OJP publication “Defining Drug Courts: The Key Components”).

If the application requests funds for drug court practitioners to attend training programs, provide information on the subject matter of the programs to be attended, who will attend them, and what the practitioners will gain from attendance.
 - 2. If the application is to conduct a process or outcome evaluation, identify the independent evaluator who will work with the drug court to conduct the required process evaluation. If an evaluator has not been identified, describe how the drug court will work to obtain the

services of an evaluator. Describe how the process evaluation will assist the drug court in learning about how it is meeting its operational and administrative goals, and in adjusting policies and procedures, if warranted. Identify the specific information that will be collected and analyzed as part of the process evaluation. Describe the specific data elements that will be collected and how these data will be collected for use in program operation and management. The description should include specific quantifiable goals and the method for measuring progress toward those goals. The Drug Court Grantee Data Collection Survey (see Appendix C) should be used as a guide to identifying these data elements. (Applicants are strongly encouraged to review Appendix D for guidance on process evaluations and management information systems.) Applicants must also comply with the Human Subject Testing requirements as set forth on page 43. The evaluation design must be submitted to the DCPO for review and approval if the grant is awarded.

3. If the application is to develop and implement an automated management information system, provide a full description of the proposed MIS. The description should include why the funds are needed, what problem will be addressed, how information currently is being collected and analyzed, who will have direct on-line access to the MIS, who will enter data into the MIS, how the MIS development will be organized, who will be responsible for the project, if the MIS development will be integrated into existing systems, if and how the MIS development will expand existing capabilities, identification of consultants or trainers, and a description of how the consultants or trainers will be used. Systems developed must be capable of collecting the data required for submission in the Drug Court Grantee Data Collection Survey (see Appendix C) and to support national evaluation activity (see Appendix D).

IMPORTANT NOTE: The page limits that appear after each section in the Program Design Narrative should serve as a guide. Pages in excess of the total page limit suggested **will not be considered**. Page numbering is strongly encouraged for the Program Design Narrative section of your application. Any appendices or attachments other than those required **will not be considered**.

Attachments

- A. **Time and Task Plan:** Provide a plan for the enhancement project to include a detailed time schedule. This plan must cover the entire grant period and include the following information:
 1. The goals of the project. Goals must be realistic, quantifiable, and attainable;
 2. The specific objectives and activities associated with each goal;
 3. The time frames associated with each activity; and
 4. The person(s) responsible for ensuring that the activities are accomplished.
- B. **Budget**
 1. Provide a Budget Detail Worksheet (as found in Forms on page 78), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide the following:

-
-
- (a) Complete Budget Detail Worksheet and Budget Narrative for each Year 1 of the project; and
 - (b) Complete Budget Detail Worksheet and Budget Narrative for Year 2 of the project.
 2. The budget must be complete and reasonable and must comply with the criteria set forth in Appendix E: Drug Court Budgets: Allowable and Unallowable Costs.

It is imperative that the amount of Federal funds requested in box #15(a) of the Application for Federal Assistance (SF 424) reflect the total amount of Federal funds over the entire 1- or 2-year project period.

Similarly, the amount given in box #15(b) of the Application for Federal Assistance (SF 424) must reflect the entire 25 percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the Federal request and the match amount.

Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs, with a 25 percent match requirement. As required by statute, a portion of the match must be cash. The term “portion” is not defined. Please refer to page 78 for more information on this Match Requirement.

Applicant Information Page

The **first page** of the application must include the following information in the order listed:

A. Applicant Contact Information

1. Name and job title
2. Agency
3. Address
4. Phone
5. Fax
6. E-mail

B. Size of Jurisdiction

1. Population
2. Urban, suburban, or rural
3. State, local, tribal community
4. Name of city and county where court is located

C. Type of Drug Court Application

1. Adult Implementation Grant
2. Juvenile Implementation Grant
3. Single Jurisdiction Enhancement Grant (Adult)
4. Single Jurisdiction Enhancement Grant (Juvenile)
5. Statewide Enhancement Grant

D. Designation of jurisdiction by the U.S. Department of Housing and Urban Development as an Empowerment Zone or Enterprise Community

1. Applicants will identify themselves as such or state that this designation does not apply to their jurisdictions.
2. Applicants will describe in one paragraph how they will target their drug court effort to their designated area.

E. Indicate if your jurisdiction has ever received a Planning grant from the Drug Courts Program Office. Include the grant number for the award.

-
- F. Indicate if your jurisdiction has ever received an Implementation, Enhancement, Continuation or Mini-grant from the Drug Courts Program Office. Include the grant number for each award.

[Statewide Enhancement grant applicants, stop here.]

G. Target Population

1. Age
2. Sex
3. Misdemeanor, felony, or both
4. Total number of participants to be served by the grant. Ranges are acceptable.
(Note: For juvenile drug courts, provide number of juveniles and number of family members.)

H. Drug Court Eligibility (what types of offenders will be eligible for drug court)

1. Eligibility criteria (include information on current charges and prior convictions)
2. How is eligibility determined and who determines eligibility

I. Drug Court Structure (choose those that apply)

1. Deferred prosecution: Adjudication is deferred and defendant is diverted to treatment program after being charged
2. Postadjudication: Adjudication occurs, but sentence is deferred or pronounced and defendant enters the treatment program
3. Other: Explain

J. Length of Drug Court Program (in months)

Applicant Certifications

All applicants are required to provide written certification in response to each of the following items. Please do so in the form of a letter signed by the authorizing official.

A. Coordination of Federal Efforts

■ Provide the following information:

1. A copy of any active Federal grant award (from the Department of Justice, other Federal agency, or other entity) already supporting this or related efforts;
2. Information on any pending applications for Federal money for this or related efforts; and
3. An explanation of how the pending application would be coordinated with the funding sought by this application.

For each, include the project title, the Federal grantor agency, the Federal award amount, and a very brief description of the project's purpose and how the applicant plans to coordinate with the project. This information is requested to encourage better coordination among Federal agencies in addressing State and local needs.

“Related efforts” is defined as those efforts that:

- Have the same purpose (*i.e.*, the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants);
- Comprise another phase or component of the same program or project (*e.g.*, to implement a planning effort funded by other Federal monies or to provide a substance abuse treatment or education component within a criminal justice project);
- Provide services of some kind (*e.g.*, technical assistance, research, evaluation) to the program or project described in the application;
- Provide information identifying related State, local, or community initiatives that complement or will be coordinated with this application.

B. Coordination with State, Local, and Community-Based Initiatives

■ Identify the following:

1. Related State or local government or community-based initiatives that complement this application;

-
2. Related State or local government or community-based initiatives that are coordinated with this application and how that coordination will be achieved; and
 3. The impact this initiative will have on the drug court.

C. OJP-Sponsored Technical Assistance and Training

State a willingness and ability to participate in at least one technical assistance workshop or conference:

- **Implementation and Enhancement grant recipients are required to attend at least one technical assistance workshop or conference on or related to the topic of drug courts.** Recipients of DCPO grants may use grant funds to cover the cost of travel and per diem for teams of participants from their jurisdictions attending the workshops or conferences. Approval to attend the workshops or conferences must be obtained from the OJP/DCPO 30 days prior to the events.

D. Current Inability to Fund and Intention to Fund After the Federal Assistance

Explain the inability to fund the program adequately without Federal assistance. Applicants also must provide certification of the intention and capability of the jurisdiction to continue the program after the Federal funding.

E. Certification Required by Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as Amended, 42 U.S.C. 3796 ii *et seq.*

1. Applicants must certify that there has been appropriate consultation with all affected agencies and that there will be appropriate coordination with all affected agencies in implementation of the program.

Specific examples of consultation and coordination, as well as the identities of the affected agencies, must be provided. For example, the drug court will coordinate with the Brownville Unitarian Church to provide counseling services to its clients.

2. Applicants must certify that participating offenders will be supervised by one or more designated judges with responsibility for the drug court program.

F. Treatment Providers

Provide certification that all treatment programs and providers used in the drug court program are licensed, certified, or accredited by appropriate State government or professional agencies.

G. Violent Offenders

Provide certification that violent offenders, as defined by 42 U.S.C. 3796ii, will be excluded from drug court programs receiving funds under this program.

H. Supplanting Prohibition

Provide certification that Federal funds will be used to supplement existing funds for program activities and will not replace (supplant) non-Federal funds that have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil or criminal penalties.

I. Human Subject Testing

Indicate whether the project or activity proposed in the application includes research that may involve human subjects, as defined in 28 CFR 46.

The DOJ is a signatory to the Federal policy on protection of human subjects of research, the “Common Rule.” DOJ’s incorporation of the Common Rule is set forth in 28 CFR 46, Protection of Human Subjects, which requires that research involving human subjects to be submitted to an independent review board for approval and that informed consent procedures are to be followed. The policies set forth in 28 CFR 46 apply to all research involving human subjects conducted, supported, or otherwise subject to regulation by any Federal department or agency that has adopted the Common Rule. Federal funds may not be expended for research involving human subjects unless the requirements of this policy have been satisfied, if the research is not covered by an exemption set forth in 28 CFR 46.101(b)(1).

J. Information Technology

The OJP encourages integration and interoperability of information technology (IT) systems between all justice agencies and across Federal, State, and local jurisdictional boundaries. IT systems include automated information systems used by each of the justice system components (law enforcement, courts, prosecution, defense, corrections, probation, and parole) in their internal day-to-day business and in communicating with each other. To support State and local justice integration and interoperability of these systems, OJP asked Governors to designate a “point of contact” to provide information on IT plans and coordination in your State. State and local recipients of awards that will be used in whole or in part for information systems may be required by the awarding OJP bureau to communicate with this point of contact about their information technology plans. By increasing State and local communication when planning and implementing information technology, OJP funds may be used to support interoperable, rather than isolated, information systems.

The name and address of your State information Technology Point of Contact can be obtained by calling our customer service line at 1–800–421–6770, or on the OJP Web page: [http: September 21, 1999/ www.ojp.usdoj.gov.htm](http://www.ojp.usdoj.gov.htm)

Definitions

“Drug court” means a specially designed court calendar or docket, the purposes of which are to achieve a reduction in recidivism and substance abuse among nonviolent substance-abusing offenders and to increase the offenders’ likelihood of successful habilitation through early, continuous, and intense judicially supervised treatment, mandatory periodic drug testing, and use of appropriate sanctions and other habilitation services.

“Violent Offender” means a person who either:

- A. Is charge with or convicted of an offense during the course of which
 1. The person carried, possessed, or used a firearm or other dangerous weapon;
 2. There occurred the use of force against the person of another; or
 3. There occurred the death of, or serious bodily injury to any person without regard to whether any of the circumstances described above was an element of the offense or conduct of which or for which the person was charged or convicted; or
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

“Grantee” means those States, State courts, local courts, counties, other units of local government, or Indian tribal governments acting directly or through agreement with other public or private entities that receive funding under this program.

“Indian tribe” means a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act [43 U.S.C. 1601 *et seq.*]), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their special status as Indians.

“State” means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, American Samoa, Guam, or the Northern Mariana Islands.

“Unit of local government” means any city, county, township, town, borough, parish, fiscal court, village, or other general purpose political subdivision of a State; an Indian tribe that performs law enforcement functions as determined by the Secretary of the Interior; or, for the purpose of assistance eligibility, any agency of the District of Columbia government or the United States Government performing law enforcement functions in and for the District of Columbia and the Trust Territory of the Pacific Islands.

“Eligible Applicants” For purposes of this application kit, eligible applicants are States, State courts, local courts, counties, and other units of local government and Indian tribal governments acting

directly or through agreement with other public or private entities. All applicants must demonstrate management and financial capabilities to effectively plan and for-profit agencies are not eligible applicants.

If a subunit of government (*i.e.*, county probation department, district attorney's office, or pretrial services agency) wishes to apply, it must be designated by an eligible applicant (described above) as the authorized representative of that applicant for purposes of applying for a grant. For example, the county executive may designate the county probation or county attorney's office as its representative for the purpose of applying for a grant. A model of a designation letter may be found in Forms on page 69.

Program Provisions

The following is for informational purposes only and relates to the programmatic provisions and requirements of the Office of Justice Programs and the Drug Courts Program Office.

A. Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most Federal agencies for application for Federal assistance. This form contains 18 different items, all of which must be completed before the application is reviewed.

B. Assurances

By signing the SF 424 the applicant agrees to comply with the requirements contained in the assurances in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

C. Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

Lobbying:

The applicant and all subgrantees, contractors, and subcontractors will not use Federal funds for lobbying and will disclose any lobbying activities.

Debarment:

The applicant and designated principals must not have been debarred or suspended from Federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

Drug-Free Workplace:

The applicant will or will continue to provide a drug-free workplace. Signing the form commits the applicant to compliance with the certification requirements under 28 CFR 69, New Restrictions on Lobbying, and 28 CFR 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

D. Match Requirement

The Federal share of a grant-funded project may not exceed 75 percent of the total project costs. At least 25 percent of the total project costs is a required match and must come from local sources. As required by statute, “cash” contributions must constitute a portion of the non-Federal share of the grant. “Portion” is not defined in the statute. The remainder of the match may be in-kind. For example, if the request for Federal support is \$200,000, the minimum local match requirement would be \$66,667, making the total project budget \$266,667. A portion of the match must be cash. This is required by statute; the term “portion” is not defined.

The following formula may be used to calculate local match:

$$\text{Federal Request} \div 0.75 \times 0.25 = \text{Local Match}$$

Within each budget category, the applicant must clearly delineate the individual items that match. As an example, an asterisk may be placed next to the individual match items.

E. Single Point of Contact Review

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State single point of contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in block 16 on the Application for Federal Assistance, SF 424.

F. Civil Rights Compliance

All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. In the event that a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights of the Office of Justice Programs. All applicants should consult the Assurances required with the application funds to understand the applicable legal and administrative requirements.

G. Suspension or Termination of Funding

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of Title I, Subchapter XII-J of the Omnibus Crime Control and Safe Streets Act, as amended, 42 U.S.C. 3796ii *et seq.*, and the program guidelines issued thereunder, or other provisions of Federal law;

-
- Failure to make satisfactory progress toward the goals or strategies set forth in this application;
 - Failure to adhere to the requirements in the agreement, standard conditions, or special conditions;
 - Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
 - Filing a false certification in this application or other report or document;
or
 - Other good cause shown.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations described in 28 CFR 18.

H. Reporting Requirements

All recipients of grants awarded by the Drug Courts Program Office are required to submit the following reports: Financial Status Reports, Categorical Assistance Progress Reports, and the Drug Court Grantee Data Collection Survey. Additionally, recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. Refer to Appendix C for more specific information on these reporting requirements and for a copy of each report form.

Application Review and Award Process

Applications submitted in response to this solicitation will be reviewed by a panel of drug court professionals, who will make recommendations to OJP regarding the relative strengths of the applications. Reviewers will consider how well each applicant covers the information requested for each program in this guideline. No appendices will be reviewed other than those required in the application. The reviewers will consider whether budgets are detailed, reasonable, and directly related to the proposed program. Priority will be given to **innovative** and **comprehensive** programs. Only programs containing the essential elements of treatment drug courts, described on page 5 of this guideline, will be funded. The final award decision will be made by OJP.

OJP anticipates announcing the awards by July 1, 2000. The announcement will be on the OJP home page (www.usdoj.ojp/dcpo) and is solely an announcement of OJP's intention to fund the application. Award documentation will not be mailed out at that time. OJP will then negotiate specific terms of awards with the selected applicants. Awards will be processed and mailed to the recipients by September 30, 2000. Selected applicants can anticipate a project start date of September 1, 2000.

At the conclusion of the review process, letters will be sent to all applicants, either notifying them that their proposal has been selected or providing the reasons it was not selected.

Equitable Distribution of Grant Awards

In all cases, the U.S. Department of Justice will attempt to award grants on a geographically equitable basis that will address the needs of smaller jurisdictions as well as large urban centers. Jurisdictions that contain federally designated Empowerment Zones or Enterprise Communities may receive special consideration if they describe how they will target their drug court effort to the designated area.

Drug Court Training and Technical Assistance Program

The Drug Court Training and Technical Assistance Program has greatly expanded in the past two years and builds upon the foundation of the previous training and technical programs. While many courts and treatment providers are interested in the drug court concept, they have little experience with the rethinking and effort required to implement this approach to managing offenders. Additionally, court administrators and judges have difficulty identifying the questions to ask about program impact, as pointed out in the 1997 Government Accounting Office report on drug courts. It is the philosophy of the DCPO that these issues can best be addressed through training and technical assistance to promote and support best practices in the development, implementation, evaluation, and institutionalization of drug courts. Technical assistance and training will be available to all grantees.

Based on the complexity and diversity of the drug court field, DCPO has developed eight initiatives under this program to meet the training and technical assistance needs of drug courts. The following is a brief summary of the initiatives:

I. Drug Court Clearinghouse

This initiative is currently jointly funded by the DCPO and the Local Law Enforcement Block Grant Program (LLEBG), Bureau of Justice Assistance (BJA). The goals of this initiative are to:

- A. Assist communities in the development of effective drug court teams, in the engagement of multiple systems, and in the design and development of drug courts that include the 10 key components of drug courts.
- B. Collect, analyze, and disseminate information about drug courts that will provide the drug court field with specific resources to strengthen their ability to operate effectively.
- C. Increase communication and sharing of information among drug courts.
- D. Provide comprehensive on-site technical assistance to grantees.

For further information contact:

The American University Drug Court Clearinghouse and Technical Assistance Project
Caroline Cooper, Associate Director
4400 Brandywine Street, N.W.
Washington, D.C. 20016-8159
202-885-2875
www.american.edu/justice

II. Adult Drug Court Planning Workshops

The goals of this initiative are to:

- A. Assess the training needs of adult drug courts. Develop training agendas that reflect the state-of-the art knowledge on adult drug courts.
- B. Teach and demonstrate the importance of the key components for adult drug courts.
- C. Strengthen the drug court team's capacity to work as a unit, expand the team membership, foster practitioner-to-practitioner training, and provide maximum networking opportunities.

For further information contact:

West Huddleston, Deputy Director
National Drug Court Institute
900 N. Pitt Street, Suite 370
Alexandria, VA 22314
1-888-909-6324

The Justice Management Institute
Barry Mahoney, President
1900 Grant Street, Suite 630
Denver, CO 80203
303-831-7564
JMIDENVER@aol.com

III. Mentor Drug Court Network

The goals of this initiative are to:

- A. Foster the development of drug courts through the direct observation of existing drug courts and dialogue with drug court practitioners.
- B. Develop a mentor drug court network that coordinates visits to specially selected drug courts and develops training programs at the sites, while minimizing the burden on the host drug courts.
- C. Assist communities in the development of effective drug court teams and in the development of an effective operational drug court that follows the 10 key components.

For further information contact:

The National Association of Drug Court Professionals
Lolita Curtis, Vice President
900 N. Pitt Street, Suite 370
Alexandria, VA 22314
1-888-316-2327
www.drugcourt.org

IV. Tribal Drug Court Training and Technical Assistance

The goals of this initiative are to:

- A. Assess the training needs of tribal drug courts and develop training agendas to assist Native American communities in developing and implementing effective tribal drug court programs that reduce recidivism and improve abstinence.
- B. Develop a training program for trainers and technical assistance providers to serve the Native American community.
- C. Develop curriculums that use specially trained faculty to train Native American teams to plan and implement drug courts that effectively fit into tribal justice systems and Native American communities.
- D. Develop a specialized technical assistance strategy for providing on-site technical assistance to Native American tribes that have attended the specialized drug court training programs.

For further information contact:

The National Association of Drug Court Professionals
Janna Walker, Program Director
900 N. Pitt Street, Suite 370
Alexandria, VA 22314
1-888-316-2327
www.drugcourt.org

The Tribal Law and Policy Institute
Jerry Gardner, Executive Director
P.O. Box 460370
San Francisco, CA 94146
415-647-1755
jerry@tribal-institute.org

V. Juvenile Drug Court Training and Technical Assistance

This initiative is currently jointly funded by the DCPO and Juvenile Accountability Incentive Block Grant Program, Office of Juvenile Justice and Delinquency Prevention. The goals of this initiative are to:

- A. Assess the training needs of juvenile drug courts and develop training agendas to assist communities in developing and implementing effective juvenile drug court programs that reduce recidivism and improve abstinence.
- B. Assist communities in the development of effective juvenile drug court teams, in the engagement of multiple systems, and in designing and implementing juvenile drug courts.
- C. Develop curriculums that use specially trained faculty to train juvenile drug court teams to plan and implement drug courts.
- D. Develop a training program for trainers and technical assistance providers to serve the juvenile drug court community.

For further information contact:

National Council of Juvenile and Family Court Judges
Iris Key, Manager
Substance Abuse Programs
P.O. Box 8970
Reno, NV 89507
702-784-1663
key@ncjfcj.unr.edu

VI. Evaluation and Management Information Systems Training and Technical Assistance

This initiative is currently jointly funded by the DCPO and LLEBG/BJA. The goals of this evaluation and MIS initiative are to:

- A. Provide drug court programs with the specific resources to strengthen their capacity to collect the data necessary to effectively monitor and evaluate their drug court program.
- B. Provide the drug court field with a wide range of assistance in the development and execution of both process and impact evaluations.
- C. Provide the drug court field with a wide range of assistance in development of drug court management information systems.

-
- D. Provide specialized training on the development of drug court management information systems and evaluations.
 - E. Develop innovative information-sharing techniques for dissemination of information on drug court evaluations and MIS.
 - F. Develop a needs assessment for training and technical assistance on MIS and evaluation.

For further information contact:

SEARCH, Incorporated
Francis Bremson, Manager
7311 Greenhaven Drive, Suite 145
Sacramento, CA 95831
916-392-2550
www.search.org

The Center for Court Innovation
Eric Lee, Deputy Director
351 West 54th Street
New York, NY 10019
212-373-8088
www.communitycourts.org

VII. Training and Technical Assistance for Treatment in Drug Courts

The goals of this initiative are to:

- A. Develop a list of leading drug treatment experts with experience in providing treatment within the criminal justice system.
- B. Develop an inventory of drug treatment services offered in drug courts.
- C. Convene a meeting of drug court treatment providers.
- D. Analyze the status of drug treatment in drug courts within the context of nationally recognized standards.
- E. Develop a process for the delivery of technical assistance to drug courts experiencing difficulty in delivering treatment services.
- F. Provide technical assistance to drug courts experiencing difficulty in delivering treatment services.

For further information contact:

National TASC (Treatment Accountability for Safer Communities)
Irene Gainer, Director
1911 N. Fort Myer Drive Suite
900 Arlington, VA 22209
703-522-7212
natasc@aol.com

VIII. National Drug Court Institute (NDCI)

The Office of National Drug Control Policy has transferred funding to DCPO for this initiative. The components of this initiative are:

- A. Education — To provide comprehensive skills-based training to drug court practitioners. Areas include:
 - (1) Adult and Juvenile Drug Court Judges
 - (2) Adult and Juvenile Drug Court Coordinators
 - (3) Drug Court Treatment Providers
 - (4) Drug Court Public Defenders
 - (5) Drug Court Prosecutors
- B. Research — To support investigative projects aimed at the development of more effective drug court policies and procedures. Areas include:
 - (1) Ethics and Confidentiality
 - (2) Drug Court Systems
 - (3) Jail-based Treatment
 - (4) Prison-based Treatment
 - (5) Drug Court Case Management Standards
 - (6) Regional Research Meetings
 - (7) Standardization Project
- C. Scholarship — To disseminate important drug court specific research, evaluations, and commentary. Areas include:
 - (1) A semiannual publication designed to keep practitioners and policymakers abreast of new developments in the drug court field.
 - (2) Dissemination of scholastic articles.

For further information contact:

West Huddleston, Deputy Director
National Drug Court Institute
900 N. Pitt Street, Suite 370
Alexandria, VA 22314
1-888-909-6324

Forms

- 1: Applicant Workshops Registration Form
- 2: Application for Federal Assistance (SF 424) and Instructions
- 3: Assurances
- 4: Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters;
and Drug-Free Workplace Requirements
- 5: Sample Applicant Authorization Letter
- 6: Budget Detail Worksheet and Sample

Drug Courts Program Office
Regional Applicant Workshops
REGISTRATION FORM

Name: _____

Title: _____

Address: _____

City: _____ **State:** _____ **Zip:** _____

Phone: _____ **Fax:** _____ **Email:** _____

Drug Court Jurisdiction (if Applicable): _____

Please check the city that you plan to attend:

_____ Washington, DC — January 14, 2000

_____ Albuquerque, NM — January 21, 2000

_____ San Francisco, CA — January 24, 2000

To receive logistical information, including meeting locations, please go to www.ojp.usdoj.gov/dcpo or call 1-800-851-3420 and press #1 for the Fax on Demand Service. The document number is 100.

If you have any questions or require additional information, please call Pauline Gentles at 301-519-5329.

Please return this form by **January 5, 2000** to:

Drug Courts Program Office
Application Workshop
Fax: 301-519-5355
or mail to
2277 Research Blvd, MS 7D
Rockville, MD 20850

FORM 1

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

| | | | |
|---|--|------------------------------|----------------------|
| 1. TYPE OF SUBMISSION: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction </div> <div style="width: 45%;"> <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction </div> </div> | | 2. DATE SUBMITTED | Applicant identifier |
| 3. DATE RECEIVED BY STATE | | State Application Identifier | |
| 4. DATE RECEIVED BY FEDERAL AGENCY | | Federal Identifier | |

| | | | |
|--|--|---|--|
| 5. APPLICANT INFORMATION Legal Name: | | Organizational Unit | |
| Address (give city, county, state and zip code): | | Name and telephone number of the person to be contacted on matters involving the application (give area code) | |

| | |
|---|--|
| 6. EMPLOYER IDENTIFICATION (EIN) <div style="display: flex; align-items: center;"> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="margin: 0 5px;">-</div> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div> | 7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District </div> <div style="width: 45%;"> H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private Industry K. Indian Tribe L. Individual M. Profit Organization N. Other (specify): _____ </div> </div> |
|---|--|

| | |
|---|-----------------------------------|
| 8. TYPE OF APPLICATION: <div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision </div> If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> <div style="display: flex; justify-content: space-around;"> <div style="text-align: center;">A. Increase Award</div> <div style="text-align: center;">B. Decrease Award</div> <div style="text-align: center;">C. Increase Duration</div> </div> <div style="display: flex; justify-content: space-around;"> <div style="text-align: center;">D. Decrease Duration</div> <div style="text-align: center;">Other (specify): _____</div> </div> | 9. NAME OF FEDERAL AGENCY: |
|---|-----------------------------------|

| | |
|--|---|
| 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="display: flex; align-items: center;"> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="margin: 0 5px;">-</div> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div> TITLE: | 11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT: |
|--|---|

| | | | |
|--|--|---|--|
| 12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): | | 13. PROPOSED PROJECT: Start Date Ending Date | |
| 14. CONGRESSIONAL DISRICTS OF: a. Applicant | | b. Project | |

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|------------|----|-----|-----|--------------|----|--|-----|----------|----|--|-----|----------|----|--|-----|----------|----|--|-----|-------------------|----|--|-----|----------|----|--|-----|--|
| 15. ESTIMATED FUNDING: <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">a. Federal</td> <td style="width: 10%;">\$</td> <td style="width: 10%;"></td> <td style="width: 10%;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td></td> <td>.00</td> </tr> </table> | a. Federal | \$ | | .00 | b. Applicant | \$ | | .00 | c. State | \$ | | .00 | d. Local | \$ | | .00 | e. Other | \$ | | .00 | f. Program Income | \$ | | .00 | g. TOTAL | \$ | | .00 | 16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES, THIS PREAPPLICATION/APPLICATIN WAS MADE A VAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO, <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW |
| a. Federal | \$ | | .00 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b. Applicant | \$ | | .00 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c. State | \$ | | .00 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d. Local | \$ | | .00 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| e. Other | \$ | | .00 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| f. Program Income | \$ | | .00 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| g. TOTAL | \$ | | .00 | | | | | | | | | | | | | | | | | | | | | | | | | | |

| | | |
|---|--|--|
| 17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No | | |
|---|--|--|

| | | |
|---|----------|---------------------|
| 18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED | | |
| a. Typed Name of Authorized Representative | b. Title | c. Telephone number |
| d. Signature of Authorized Representative | | e. Date Signed |

FORM 2

The Application for Federal Assistance is a standard form used by most federal agencies. This form contains 18 different items which are to be completed before submission. All applications should include a completed and signed SF 424.

Item Instructions

- 1 **Type of Submission:** If this proposal is not for construction or building purposes, check the “Non-Construction” box in the application section.
- 2 **Date Submitted:** Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
- 3 **Date Received by State:** Leave blank. This item is completed by the State single point of contact, if applicable.
- 4 **Date Received by Federal Agency:** Leave blank. This item will be completed by OJP.
- 5 **Applicant Information:** The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include their telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
- 6 **Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
- 7 **Type of Applicant:** Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
- 8 **Type of Application:** Check either “new” or “continuation”. Check “new”, if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation”, if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.
- 9 **Name of Federal Agency:** Type in the name of the awarding agency, “Drug Courts Program Office, Office of Justice Programs”.
- 10 **Catalog of Federal Domestic Assistance Number:** This would be contained in the program announcement. The number for this program would be 16.585.
- 11 **Descriptive Title of Applicant’s Project:** Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant’s fiscal year, *i.e.* twelve month audit period, ex. 10/1/97 – 9/30/98.
- 12 **Areas Affected by Project:** Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
- 13 **Proposed Project Dates:** Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.
- 14 **Congressional Districts:** Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “Statewide” or “National”, if applicable.
- 15 **Estimated Funding:** In line “a”, enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines “b–f,” as appropriate.
- 16 **State Executive Order 12372:** Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds within the state. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
- 17 **Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
- 18 **Authorized Representative:** Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as “original” to help distinguish the original from the photocopies.

Instructions for Completion of the Application for Federal Assistance (SF 424)

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements 28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, *et seq.*)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 *et seq.*) by (a) consulting with the State Historic Preservation Officer on the conduct of Investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C,D,E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 *et seq.*) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

OJP FORM 4000/3 (Rev. 1-93) PREVIOUS EDITIONS ARE OBSOLETE.
ATTACHMENT TO SF-424

FORM 3



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS; AND DRUGFREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS
(DIRECT RECIPIENT)**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510, -

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local)

transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUGFREE WORKPLACE
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the DrugFree Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 —

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drugfree awareness program to inform employees about —

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drugfree workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted —

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620 —

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

Sample Applicant Authorization Letter

Sample Letter

Marilyn Roberts
Director Drug Courts Program Office
810 Seventh Street, NW
Eighth Floor
Washington, DC 20531

[current date]

RE: [drug court grant number, name of grant, and
type of grant]

Dear Ms. Roberts:

As the [Chief Executive Officer or similar authority] for the [State or unit of local government], on behalf of [State or unit of local government], I hereby authorize [name of agency administering the grant] as the official representative of [State or unit of local government] authorized to apply to undertake a drug court program or project in whole or in part. This designation is made pursuant to the authority conferred upon me by Section 901 of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3791(c), and it is effective as of [date of original application].

Any additional correspondence concerning this drug court grant should be directed to [the agency administering the grant]. The appropriate contact person at that agency is [contact at agency administering the grant], who can be reached at [phone number].

Sincerely,

[name and title]

Budget Detail Worksheet and Sample

OMB Approval No. 1121-0188

Expires 5-98 (Rev. 1/97)

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

- A. Personnel** — List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

| Name/Position | Computation | Cost |
|---------------|-------------|------|
|---------------|-------------|------|

TOTAL _____

FORM 6

B. Fringe Benefits — Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman’s Compensation, and Unemployment Compensation.

| Name/Position | Computation | Cost |
|---------------|-------------|------|
|---------------|-------------|------|

TOTAL _____

Total Personnel & Fringe Benefits _____

C. Travel — Itemize travel expenses of project personnel by purpose (*e.g.*, staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (*e.g.*, six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved, Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

| Purpose of Travel | Location | Item | Computation | Cost |
|-------------------|----------|------|-------------|------|
|-------------------|----------|------|-------------|------|

TOTAL _____

D. Equipment — List non-expendable items that are to be purchased, Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (*Note:* Organization’s own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the “Supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

| Item | Computation | Cost |
|------|-------------|------|
|------|-------------|------|

TOTAL _____

-
- E. Supplies** — List items by type (office supplies, postage, training materials, copying paper, and expendable items costing less than \$5,000, such as books, hand held tape recorders and show the basis for computation. (*Note:* Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

| Supply Items | Computation | Cost |
|--------------|-------------|------|
|--------------|-------------|------|

TOTAL _____

- F. Construction** — As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable, Consult with the program office before budgeting funds in this category.

| Purpose | Description of Work | Cost |
|---------|---------------------|------|
|---------|---------------------|------|

TOTAL _____

G. Consultants/Contracts — Indicate whether applicant’s formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$250 per day require additional justification and prior approval from OJP.

| Name of Consultant | Service Provided | Computation | Cost |
|--------------------|------------------|-------------|------|
|--------------------|------------------|-------------|------|

Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (*i.e.*, travel, meals, lodging etc.)

| Item | Location | Computation | Cost |
|------|----------|-------------|------|
|------|----------|-------------|------|

Subtotal _____

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost, Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

| Item | Cost |
|------|------|
|------|------|

Subtotal _____

TOTAL _____

H. Other Costs — List items (*e.g.*, rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

| Description | Computation | Cost |
|-------------|-------------|------|
|-------------|-------------|------|

TOTAL _____

-
- I. Indirect Costs** — Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

| Description | Computation | Cost |
|-------------|-------------|------|
|-------------|-------------|------|

TOTAL _____

Budget Summary — When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

| Budget Category | Amount |
|----------------------------|---------------|
| A. Personnel | _____ |
| B. Fringe Benefits | _____ |
| C. Travel | _____ |
| D. Equipment | _____ |
| E. Supplies | _____ |
| F. Construction | _____ |
| G. Consultants/Contracts | _____ |
| H. Other | _____ |
| Total Direct Costs | _____ |
| I. Indirect Costs | _____ |
| TOTAL PROJECT COSTS | _____ |
| | |
| Federal Request | _____ |
| Non-Federal Amount | _____ |

Budget Detail Worksheet

Note: Please break down each of the categories (A–I) into Federal and local share.

| <i>For example:</i> | Total: | Federal: | Local: |
|----------------------------|---------------|-----------------|---------------|
| A. Personnel | | | |
| B. Fringe | | | |
| C. Travel | | | |
| D. Equipment | | | |
| E. Supplies | | | |
| F. Construction | | | |
| G. Consultants | | | |
| H. Other | | | |
| Total direct costs: | | | |
| I. Indirect Costs | | | |

TOTAL PROJECT COSTS

Federal Request:

Non-Federal Amount:

The “Total” amount column should detail total project costs for the drug court program. The “Federal” amount column should detail the applicant’s federal request which can be no more than 75 percent of the total project costs. The “Local” amount column should detail the applicant’s match which must be at least 25 percent of the total project’s costs.

SAMPLE BUDGET:

This is not a drug court budget. It should serve to provide information on the detailed calculations required for computation.

OMB Approval No. 1121-0188

Expires 5-98 (Rev. 1/97)

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

(Example assumes a one year budget period and 25% cash match requirement)

A. Personnel — List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

| Name/Position | Computation | Cost |
|---------------------------|--|-----------|
| John Smith, Investigator | $(\$50,000 \times 100\%)$ | \$50,000 |
| 2 Investigators | $(\$50,000 \times 100\% \times 2)$ | \$100,000 |
| Secretary | $(\$30,000 \times 50\%)$ | \$15,000 |
| | | \$165,000 |
| Cost of living increase | $(\$165,000 \times 2\% \times \text{Syr.})$ | \$1,650 |
| Overtime per investigator | $(\$37.5/\text{hr} \times 100 \text{ hrs} \times 3)$ | \$11,250 |

The three investigators will be assigned exclusively to homicide investigations. A 2% cost of living adjustment is scheduled for all full-time personnel 6-months prior to the end of the grant. Overtime will be needed during some investigations. A half-time secretary will prepare reports and provide other support to the unit.

TOTAL \$177,900

B. Fringe Benefits — Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

| Name/Position | Computation | Cost |
|--|-------------------------|------------------|
| Employer's FICA | (\$177,900 x 7.65%) | \$13,609 |
| Retirement | *(\$166,650 x 6%) | \$ 9,999 |
| Uniform Allowance | (\$50 mo. x 12 mo. x 3) | \$1,800 |
| Health Insurance | *(\$166,650 x 12%) | \$19,998 |
| Workman's Compensation | (\$177,900 x 1%) | \$1,779 |
| Unemployment Compensation | (\$177,900 x 1%) | \$1,779 |
| * (\$177,900 less \$11,250) | TOTAL | \$48,964 |
| Total Personnel & Fringe Benefits | | \$226,864 |

C. Travel — Itemize travel expenses of project personnel by purpose (*e.g.*, staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (*e.g.*, six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved, Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

| Purpose of Travel | Location | Item | Computation | Cost |
|-------------------|---------------|---------------|--|---------|
| Training | Boston | Airfare | (\$150 x 2 people x 2 trips) | \$600 |
| | | Hotel | (\$75/night x 2 nights x 2 people x 2 trips) | \$ 600 |
| | | Meals | (\$35/day x 3 days x 2 people x 2 trips) | \$ 420 |
| Investigations | New York City | Airfare | (\$600 average x 7) | \$4,200 |
| | | Hotel & Meals | (\$100/day average x 7 x 3 days) | \$2,100 |

Two of the investigators will attend training on forensic evidence gathering in Boston in October and January. The investigators may take up to seven trips to New York City to follow up investigative leads. Travel estimates are based upon applicant's formal written travel policy.

D. Equipment — List non-expendable items that are to be purchased, Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (*Note:* Organization’s own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the “Supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

| Item | Computation | Cost |
|---|----------------|---------|
| 3 – 486 Computer w/CD ROM | (\$2,000 x 3) | \$6,000 |
| Video Camera | | \$1,000 |
| The computers will be used by the investigators to analyze case and intelligence information. The camera will be used for investigative and crime scene work. | | |
| TOTAL | | \$7,000 |

E. Supplies — List items by type (office supplies, postage, training materials, copying paper, and expendable items costing less than \$5,000, such as books, hand held tape recorders and show the basis for computation. (*Note:* Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

| Supply Items | Computation | Cost |
|--------------------|----------------------|----------------|
| Office Supplies | (\$50/mo x 12 mo) | \$600 |
| Postage | (\$20/mo x 12 mo) | \$240 |
| Training Materials | (\$2/set x 500 sets) | \$1,000 |
| TOTAL | | \$1,840 |

Office supplies and postage are needed for general operation of the program. Training materials will be developed and used by the investigators to train patrol officers how to preserve crime scene evidence.

F. Construction — As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable, Consult with the program office before budgeting funds in this category.

| Purpose | Description of Work | Cost |
|------------|------------------------------|---------|
| Renovation | Add walls | \$5,000 |
| | Build work tables | \$3,000 |
| | Build evidence storage units | \$2,000 |

The renovations are needed to upgrade the forensic lab used to analyze evidence for homicide cases.

TOTAL **\$10,000**

G. Consultants/Contracts — Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$250 per day require additional justification and prior approval from OJP.

| Name of Consultant | Service Provided | Computation | Cost |
|---|---------------------|-----------------------|----------------|
| John Doe | Forensic Specialist | (\$150/day x 30 days) | \$4,500 |
| John Doe, Forensic Specialist, will be hired, as needed, to assist with the analysis of evidence in homicide cases. | | | |
| Subtotal | | | \$4,500 |

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (*i.e.*, travel, meals, lodging etc.).

| Item | Location | Computation | Cost |
|--|----------|-----------------------|----------------|
| Airfare | Miami | \$400 x 6 trips | \$2,400 |
| Hotel and Meals | | (\$100/day x 30 days) | \$3,696 |
| Joe Doe is expected to make up to 6 trips to Miami to consult en homicide cases. | | | |
| Subtotal | | | \$5,400 |

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost, Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

| Item | Cost |
|---------------------------------|-----------|
| Intelligence System Development | \$102,000 |

The State University will design an intelligence system to be used in homicide investigations. A sole source justification is attached. Procurement Policy is based on the Federal Acquisition Regulation.

Subtotal **\$102,000**

TOTAL **\$111,900**

H. Other Costs — List items (*e.g.*, rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

| Description | Computation | Cost |
|--|--|-----------------|
| Rent | (700 sq. ft. x \$15/sq. ft.) (\$875 mo. x 12 mo.) | \$10,500 |
| This rent will pay for space for the new homicide unit. No space is currently available in city owned buildings. | | |
| Telephone | (\$100/mo. x 12) | \$ 1,200 |
| Printing/Reproduction | (\$150/mo. x 12) | \$ 1,800 |
| TOTAL | | \$13,500 |

I. Indirect Costs — Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

| Description | Computation | Cost |
|--|--------------------|-----------------|
| 10% of personnel and fringe benefits | (\$226,864 x 10%) | \$22,686 |
| The indirect cost rate was approved by the Department of Transportation, the applicant's cognizant Federal agency on January 1, 1994. (A copy of the fully executed, negotiated agreement is attached.) | | |
| TOTAL | | <u>\$22,686</u> |

Budget Summary — When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

| Budget Category | Amount |
|----------------------------|-------------------------|
| A. Personnel | <u>\$177,900</u> |
| B. Fringe Benefits | <u>\$ 48,964</u> |
| C. Travel | <u>\$ 7,920</u> |
| D. Equipment | <u>\$ 7,000</u> |
| E. Supplies | <u>\$ 1,840</u> |
| F. Construction | <u>\$ 10,000</u> |
| G. Consultants/Contracts | <u>\$111,900</u> |
| H. Other | <u>\$ 13,500</u> |
| Total Direct Costs | <u>\$379,024</u> |
| I. Indirect Costs | <u>\$ 22,686</u> |
| TOTAL PROJECT COSTS | <u>\$401,710</u> |
| | |
| Federal Request | <u>\$301,283</u> |
| | |
| Non-Federal Amount | <u>\$100,427</u> |

Budget Detail Worksheet

Note: Please break down each of the categories (A–I) into Federal and local share.

| <i>For example:</i> | Total: | Federal: | Local: |
|--------------------------------|---------------------|---------------------|---------------------|
| A. Personnel | \$10,000 | \$7,500 | \$2,500 |
| B. Fringe | \$2,500 | \$0 | \$2,500 |
| C. Travel | \$10,000 | \$10,000 | \$0 |
| D. Equipment | \$0 | \$0 | \$0 |
| E. Supplies | \$5,000 | \$0 | \$5,000 |
| F. Construction | \$0 | \$0 | \$0 |
| G. Consultants | \$20,000 | \$20,000 | \$0 |
| H. Other | \$0 | \$0 | \$0 |
| Total direct costs: | \$48,000 | \$37,500 | \$10,000 |
| I. Indirect Costs | \$2,500 | \$0 | \$2,500 |
| TOTAL PROJECT COSTS | \$50,000 | \$37,500 | \$12,500 |
| Federal Request: | \$37,500 | | |
| Non-Federal Amount: | \$12,500 | | |

The “Total” amount column should detail total project costs for the drug court program. The “Federal” amount column should detail the applicant’s federal request which can be no more than 75 percent of the total project costs. The “Local” amount column should detail the applicant’s match which must be at least 25 percent of the total project’s costs.

Appendices

Appendix A
Violent Offender Frequently Asked Questions

Appendix A

Violent Offender Frequently Asked Questions

Background

Questions are pursuant to the definition of “violent offender” as stated in the statute. The statute defines “violent offender” as a person who either:

1. Is charged with or convicted of an offense, during the course of which offense or conduct
 - A. The person carried, possessed, or used a firearm or dangerous weapon;
 - B. There occurred the death of, or serious bodily injury to any person;
or
 - C. There occurred the use of force against the person of another, without regard to whether any of the circumstances described in subparagraph (A), (B), or (C) is an element of the offense or conduct of which or for which the person is charged or convicted; or
2. Has one or more prior convictions for a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm, 42 U.S.C. 3796ii *et seq.*

Questions

1. **Is an offender eligible for the drug court program if he or she has *previously* been convicted of a *misdemeanor* offense related to threatened or actual use of force; or use, possession, or carrying of a firearm or dangerous weapon?**

The statute’s definition of violent offender specifically limits prior offenses that cause a person to be categorized as a “violent offender” to felony crimes of violence. If a person has a prior misdemeanor conviction, even though threatened or actual use of force; or use, possession, or carrying of a firearm or dangerous weapon occurred during the offense, the person is not a violent offender according to the statute. Therefore, the offender is eligible for the drug court program as long as his or her current offense does not fall within the violent offender definition.

2. **Is an offender eligible for the drug court program if he or she has a prior *felony arrest* (but not conviction) for an offense related to threatened or actual use of force; or use, possession, or carrying of a firearm or dangerous weapon?**

The statute’s definition of violent offender specifically limits prior offenses that cause a person to be categorized as a “violent offender” to felony *convictions*. Prior felony arrests are not included in this definition. If a person has a prior felony arrest, even though it involved threatened or actual use of

force, or use, possession or carrying of a firearm or dangerous weapon, the person is not a violent offender according to the statute. Therefore, the offender is eligible for the drug court program as long as his or her current offense does not fall within the violent offender definition.

3. Is an offender eligible for the drug court program if a charge that would qualify as a violent offense according to the definition above is dropped or reduced to a nonviolent offense?

If a charge is dropped or reduced to a nonviolent offense, the offender is eligible for the drug court program. Charges that have been dropped cannot be considered when assessing whether an offender falls under the violent offender definition. Reduced charges are subject to the violent offender definition. Therefore, if the reduced charge does not qualify as a violent offense, then the offender is eligible.

4. Is an offender eligible for the drug court program if he or she has a juvenile adjudication for an offense related to threatened or actual use of force; or use, possession or carrying a firearm or dangerous weapon?

The drug courts statute, 42 U.S.C. 3786ii to 3796ii–8 (1994) does not set out different standards for juvenile offenders. Therefore, juvenile violent offenses are governed by the same standards as adult violent offenses.

Consequently, if the juvenile offender is currently charged with or convicted of an offense during the course of which threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon occurred, the juvenile will be categorized as a violent offender and ineligible for drug court programs. In addition, if the juvenile offender has a prior felony conviction for an offense related to threatened or actual use of force or use, possession or carrying of a firearm or dangerous weapon, the juvenile will be categorized as a violent offender and ineligible for drug court programs.

5. If violent offenders are admitted, inadvertently or otherwise, to the drug court program, is it possible for the OJP grant to be rescinded or canceled?

The statute provides that if the Assistant Attorney General determines that one or more violent offenders are participating in a program receiving funding under this part, such funding shall be promptly suspended, pending the termination of participation by those persons deemed ineligible to participate under the statute, 42 U.S.C. 3796ii *et seq.*

If it is discovered that violent offenders are inadvertently participating in a drug court program, the federally funded portion of the program will be suspended pending the removal of the violent offenders from the program. If the program fails to remove the violent offenders, funding must be rescinded or canceled, as the statute provides that no violent offenders will be permitted to participate in a federally funded drug court program.

6. Does the degree of violence within an offense affect eligibility?

Under the specific situations set out by the statute, the degree of violence within a qualifying offense is irrelevant. If the offender commits a “violent offense” under the statute, then he or she is ineligible to participate in a drug court program.

7. Does the definition of “violent offender” include persons who legally use, possess, or carry a firearm or dangerous weapon?

The DCPO interprets the definition of “violent offender” as being restricted to persons who illegally use, possess, or carry a firearm or dangerous weapon. Therefore, offenders are not precluded from participation in a Drug Court for either:

- A) using a legally licensed firearm or dangerous weapon in a legally justifiable way, such as in circumstances of self defense, or
- B) possession or carrying an otherwise legally licensed firearm or dangerous weapon.

8. If a drug court client commits a violent crime, as defined by the statute, while in the program does he/she have to be removed from the program? Does it matter if the new charge is a misdemeanor or a felony?

Yes, any new violent charge, as defined by the statute, whether a misdemeanor or a felony, prohibits the client from further or continued participation in the DCPO-funded program. If and only if the violent charges are dropped *or* the client is found not guilty can the client re-enter the program.

Note: Violent offenders may be placed into a separate drug court track not funded by the OJP/DCPO.

Appendix B
Sample Client Consent Forms

Appendix B

Sample Client Consent Forms

SAMPLE

CONSENT FOR DISCLOSURE OF CONFIDENTIAL SUBSTANCE ABUSE INFORMATION: DRUG COURT REFERRAL

I, defendant's name, hereby consent to communication between treatment program's name and Judge name of presiding judge, name of prosecuting attorney or prosecutor's office, name of defense attorney, the probation department of jurisdiction, (and/or other referring agency), (other).

The purpose of and need for this disclosure is to inform the court and other above-named parties of my eligibility and/or acceptability for substance abuse treatment services and my treatment attendance, prognosis, compliance and progress in accordance with the Drug Court monitoring criteria.

Disclosure of this confidential information may be made only as necessary for and pertinent to hearings and/or reports concerning charges, docket number, indictment number.

I understand that this consent will remain in effect and cannot be revoked by me until there has been a formal and effective termination of my involvement with the Drug Court for the case named above, such as the discontinuation of all court (and/or, where relevant, probation) supervision upon my successful completion of the Drug Court requirements **or** upon sentencing for violating the terms of my Drug Court involvement (and/or, where relevant, probation).

I understand that any disclosure made is bound by Part 2 of Title 42 of the Code of Federal Regulations, which governs the confidentiality of substance abuse patient (or client) records, and that recipients of this information may redisclose it only in connection with their official duties.

Date

Signature of Defendant

Signature of Parent, Guardian or
Representative (if required)

QUALIFIED SERVICE ORGANIZATION AGREEMENT

Between

PIONEER CLAIM MANAGEMENT and OSBORNE TREATMENT SERVICES, INC.

PIONEER CLAIM MANAGEMENT (PIONEER) and OSBORNE TREATMENT SERVICES, INC. (OSBORNE) hereby enter into a Qualified Service Organization Agreement whereby PIONEER agrees to provide liability insurance representation, including contracting for legal services, to OSBORNE in the matter of *Luis Martinez vs. 809 Realty Corp. and Osborne Treatment Services, Inc.* Furthermore, PIONEER

- 4) acknowledges that in receiving, storing, processing, or otherwise dealing with any information from OSBORNE about any client of OSBORNE, past or present, PIONEER and all of its agents and assigns are fully bound by the provisions of the federal laws and regulations governing the Confidentiality of Drug and Alcohol Abuse Patient Records (*42 United States Code Section 290dd-2 and 42 Code of Federal Regulations Part 2*); and
- 5) undertakes to resist, in judicial proceedings if necessary, any efforts to obtain access to information pertaining to any OSBORNE client otherwise than as expressly provided for in the federal confidentiality regulations (*42 CFR Part 2*).

Executed this day of _____, 1998

Signature of PIONEER Officer

Signature of OSBORNE Officer

Print Name of Signing Officer

Print Name of Signing Officer

Title of Signing Officer
PIONEER CLAIM MANAGEMENT
195 Lake Louise Marie Road
Rock Hill, NY 12775

Title of Signing Officer
OSBORNE TREATMENT SERVICES, INC.
809 Westchester Avenue
Bronx, NY 10455

Appendix C


**Drug Court Grantee Reporting Requirements
and Drug Court Grantee Data Collection Survey**

Appendix C

Drug Court Grantee Reporting Requirements

All recipients of Drug Courts Program Office grants are required to submit the following reports:

1. **Financial Status Reports (SF 269):** Financial status reports (SF 269-A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.
2. **Categorical Assistance Progress Reports:** Recipients of funding are required to submit an initial and then semi-annual progress report. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package.
3. **Drug Court Grantee Data Collection Survey:** To ensure that grantees are collecting critical information about their drug court programs for evaluation purposes and to assist in the national evaluation of drug courts, grantees that receive funds to implement or enhance a drug court are required to submit the Drug Court Grantee Data Collection Survey on a semiannual basis. The survey periods run January 1 June 30 and July 1 December 31. The surveys are due 60 days after the end of the report period, that is, no later than August 31 and February 28, respectively. These data will capture baseline information on both drug courts and defendants.
4. **Single Audit Report:** Recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards. The audit report is currently due to the cognizant Federal agency or oversight agency not later than 13 months after the end of the recipient's fiscal year. For fiscal years beginning on or after July 1, 1998, the audit report will be due 9 months after the end of the recipients fiscal year.

|  <p>U.S. DEPARTMENT OF JUSTICE OFFICE OF JUSTICE PROGRAMS DRUG COURTS PROGRAM OFFICE WASHINGTON, D.C. 20531</p> | <h2 style="margin: 0;">DRUG COURT GRANTEE DATA COLLECTION SURVEY</h2> | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|-------------------------|------------|-------------------------|------------|-------|-------|-------|-------|--------------|-------|-------|-------|--------|-------|-------|-------|------|-------|-------|-------|-------|-------|-------|-------|
| <p>DIRECTIONS: As a Drug Courts Program Office discretionary grantee, you are required to complete this survey. This form must be completed on a semiannual basis and submitted with your progress reports due at the end of January and July of each year. Complete Section I and update only as necessary. Update Section II at the end of January and July each year. If a grant is for multiple jurisdictions, each jurisdiction must complete the survey individually.</p> | | | | | | | | | | | | | | | | | | | | | | | | | |
| I. BASELINE INFORMATION | | | | | | | | | | | | | | | | | | | | | | | | | |
| A. GENERAL INFORMATION | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>(A). REPORTING PERIOD MONTHS: January – June Year _____ July – December Year _____</p> <p>(B). DRUG COURTS PROGRAM OFFICE GRANT NUMBER _____</p> <p>(C). DATE SURVEY WAS COMPLETED _____</p> <p>1. GRANTEE NAME (As it appears on Official DCPO Award document)</p> <p>2. TITLE (Grantee)</p> <p>3. ADDRESS (Grantee)</p> <p>4. TELEPHONE (Grantee)</p> <p>5. FAX (Grantee)</p> <p>6. E-MAIL (Grantee)</p> <p>7. NAME AND ADDRESS (Of person completing this form). (Please include Title and Telephone, Fax and E-Mail address)</p> | <p>8. TYPE OF DRUG COURT GRANT</p> <p><input type="checkbox"/> Single Jurisdiction Implementation</p> <p><input type="checkbox"/> Single Jurisdiction Enhancement</p> <p><input type="checkbox"/> Multi-Jurisdictional Implementation</p> <p><input type="checkbox"/> Multi-Jurisdictional Enhancement</p> <p>9. GRANT AWARD PERIOD _____ to _____</p> <p>10. DATE DRUG COURT PROGRAM STARTED</p> <p>11. DATE STARTED WITH DCPO FUNDING (If different)</p> <p>12. AMOUNT OF GRANT AWARD</p> <p>13. NAMES AND POSITIONS OF KEY PERSONNEL</p> <p>14. SIZE OF JURISDICTION: (Population of county or city served by court). Indicate the geographic jurisdiction served by the court.</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 10%; text-align: center;">Yes/No</th> <th style="width: 30%; text-align: center;">Name of Jurisdiction</th> <th style="width: 30%; text-align: center;">Population</th> </tr> </thead> <tbody> <tr> <td>State</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Multi-county</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>County</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>City</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Tribe</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> </tbody> </table> | | Yes/No | Name of Jurisdiction | Population | State | _____ | _____ | _____ | Multi-county | _____ | _____ | _____ | County | _____ | _____ | _____ | City | _____ | _____ | _____ | Tribe | _____ | _____ | _____ |
| | Yes/No | Name of Jurisdiction | Population | | | | | | | | | | | | | | | | | | | | | | |
| State | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | |
| Multi-county | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | |
| County | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | |
| City | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | |
| Tribe | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | |
| B. DRUG COURT INFORMATION | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>15. TYPE OF DRUG COURT (Check all that apply)</p> <p><input type="checkbox"/> Adult</p> <p><input type="checkbox"/> Juvenile</p> <p><input type="checkbox"/> Felony</p> <p><input type="checkbox"/> Misdemeanor</p> | <p>16. IN GENERAL, WHICH APPROACH DOES THE DRUG COURT FOLLOW? (Check one)</p> <p><input type="checkbox"/> Deferred Prosecution: Adjudication is deferred and the defendant is diverted to the treatment program after being charged.</p> <p><input type="checkbox"/> Postadjudication: Adjudication occurs, but the sentence is deferred or pronounced and the defendant enters the treatment program.</p> <p><input type="checkbox"/> Other (Specify)</p> | | | | | | | | | | | | | | | | | | | | | | | | |

| <p>17. WHO IS ELIGIBLE TO PARTICIPATE IN THE DRUG COURT PROGRAM? (Check all that apply)</p> <p> <input type="checkbox"/> Adult male <input type="checkbox"/> Adult female <input type="checkbox"/> Juveniles <input type="checkbox"/> Nonviolent offenders <input type="checkbox"/> Violent offenders (Past or present) <input type="checkbox"/> Offenders with substance (i.e. controlled or other addictive substances) addiction <input type="checkbox"/> Offenders without substance addiction <input type="checkbox"/> First-time offenders <input type="checkbox"/> Repeat offenders <input type="checkbox"/> Probation violators </p> | <p>21. ARE THE FOLLOWING GRADUATION REQUIREMENTS? (If yes, provide the time period.)</p> <p> Number of months drug free _____ Number of months without rearrests _____ Number of months employed _____ Other (Specify) _____ _____ _____ _____ _____ </p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|---|-------------------------------------|---|--|-------------------------------------|--|------------------------------------|---|--|---|--|--|--|--|--|-------|--|----------|-------|--|----------|-------|--|----------|-------|---|----------|-------|---|----------|-------|-----------------------------------|----------|-------|--|----------|-------|--------------------------|----------|-------|--------------------------|----------|-------|----------------------------|----------|-------|----------------------------|----------|-------|---|----------|-------|--------------------------|----------|-------|--------------------------|----------|-------|--------------------------|----------|-------|---|----------|-------|
| <p>18. WHAT IS THE LENGTH OF THE PROGRAM?</p> <p>Number of months _____</p> <p><i>If actual average length to graduate is different, indicate (number of months)</i></p> <p>_____</p> | <p>22. SINCE THE PROGRAM BEGAN, WHAT IS THE TOTAL AMOUNT OF FUNDING FOR EACH OF THE FOLLOWING TYPES THAT THE PROGRAM HAS RECEIVED? (Check all sources that apply after amount of funding.)</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;"></th> <th style="width: 20%; text-align: center;">Amount Received</th> <th style="width: 20%; text-align: center;">Year(s) Received</th> </tr> </thead> <tbody> <tr> <td colspan="3">a. FEDERAL GOVERNMENT</td> </tr> <tr> <td><input type="checkbox"/> Violent Crime Control Act of 1997 (Drug Courts Program Office)</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Local Law Enforcement Block Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Edward Byrne Memorial Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Comprehensive Communities Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Corrections Options Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> CSAT Criminal Justice Treatment Networks</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> CSAT Target Cities</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Medicaid</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Other federal government (Please specify)</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>b. State government</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>c. Local government</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>d. Private (Grants/donations from foundations, businesses, charitable organizations) Please list sources</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>e. Participant fees actually collected</td> <td>\$ _____</td> <td>_____</td> </tr> </tbody> </table> | | Amount Received | Year(s) Received | a. FEDERAL GOVERNMENT | | | <input type="checkbox"/> Violent Crime Control Act of 1997 (Drug Courts Program Office) | \$ _____ | _____ | <input type="checkbox"/> Local Law Enforcement Block Grant | \$ _____ | _____ | <input type="checkbox"/> Edward Byrne Memorial Grant | \$ _____ | _____ | <input type="checkbox"/> Comprehensive Communities Grant | \$ _____ | _____ | <input type="checkbox"/> Corrections Options Grant | \$ _____ | _____ | <input type="checkbox"/> Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance | \$ _____ | _____ | <input type="checkbox"/> CSAT Criminal Justice Treatment Networks | \$ _____ | _____ | <input type="checkbox"/> CSAT Target Cities | \$ _____ | _____ | <input type="checkbox"/> Medicaid | \$ _____ | _____ | <input type="checkbox"/> Other federal government (Please specify) | \$ _____ | _____ | <input type="checkbox"/> | \$ _____ | _____ | <input type="checkbox"/> | \$ _____ | _____ | b. State government | \$ _____ | _____ | c. Local government | \$ _____ | _____ | d. Private (Grants/donations from foundations, businesses, charitable organizations) Please list sources | \$ _____ | _____ | <input type="checkbox"/> | \$ _____ | _____ | <input type="checkbox"/> | \$ _____ | _____ | <input type="checkbox"/> | \$ _____ | _____ | e. Participant fees actually collected | \$ _____ | _____ |
| | Amount Received | Year(s) Received | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| a. FEDERAL GOVERNMENT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Violent Crime Control Act of 1997 (Drug Courts Program Office) | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Local Law Enforcement Block Grant | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Edward Byrne Memorial Grant | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Comprehensive Communities Grant | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Corrections Options Grant | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> CSAT Criminal Justice Treatment Networks | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> CSAT Target Cities | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Medicaid | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Other federal government (Please specify) | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b. State government | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c. Local government | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d. Private (Grants/donations from foundations, businesses, charitable organizations) Please list sources | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| e. Participant fees actually collected | \$ _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>19. DOES THE DRUG COURT HAVE PHASES? (If yes, list them and give the length of each phase.)</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Phase</th> <th style="width: 70%;">How Long</th> </tr> </thead> <tbody> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> </tbody> </table> | Phase | How Long | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | <p>23. WHICH OF THE FOLLOWING STATEMENTS BEST DESCRIBES ANY FEES CHARGED TO PARTICIPANTS (By the court or by any contractors providing services), EITHER CURRENTLY OR IN THE PAST?</p> <p> <input type="checkbox"/> Participant fees are charged currently. (Continue with Question 24) <input type="checkbox"/> Participant fees were charged previously, but are not currently. (Continue with Question 24) <input type="checkbox"/> Participant fees have never been charged. (Skip to Question 25) </p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Phase | How Long | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>20. SERVICES THAT ARE AVAILABLE TO DRUG COURT PARTICIPANTS (Check list)</p> <table style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td><input type="checkbox"/> Detox</td> <td><input type="checkbox"/> Child care</td> </tr> <tr> <td><input type="checkbox"/> Day reporting center</td> <td><input type="checkbox"/> Family therapy/services</td> </tr> <tr> <td><input type="checkbox"/> Outpatient</td> <td><input type="checkbox"/> Mental health</td> </tr> <tr> <td><input type="checkbox"/> Inpatient</td> <td><input type="checkbox"/> Individual counseling</td> </tr> <tr> <td><input type="checkbox"/> Academic/training schools</td> <td><input type="checkbox"/> Group counseling</td> </tr> <tr> <td><input type="checkbox"/> Job training</td> <td><input type="checkbox"/> Primary health care</td> </tr> <tr> <td><input type="checkbox"/> Employment services</td> <td><input type="checkbox"/> Housing</td> </tr> <tr> <td><input type="checkbox"/> Parenting classes</td> <td></td> </tr> </tbody> </table> | <input type="checkbox"/> Detox | <input type="checkbox"/> Child care | <input type="checkbox"/> Day reporting center | <input type="checkbox"/> Family therapy/services | <input type="checkbox"/> Outpatient | <input type="checkbox"/> Mental health | <input type="checkbox"/> Inpatient | <input type="checkbox"/> Individual counseling | <input type="checkbox"/> Academic/training schools | <input type="checkbox"/> Group counseling | <input type="checkbox"/> Job training | <input type="checkbox"/> Primary health care | <input type="checkbox"/> Employment services | <input type="checkbox"/> Housing | <input type="checkbox"/> Parenting classes | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Detox | <input type="checkbox"/> Child care | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Day reporting center | <input type="checkbox"/> Family therapy/services | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Outpatient | <input type="checkbox"/> Mental health | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Inpatient | <input type="checkbox"/> Individual counseling | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Academic/training schools | <input type="checkbox"/> Group counseling | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Job training | <input type="checkbox"/> Primary health care | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Employment services | <input type="checkbox"/> Housing | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Parenting classes | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| <p>24. WHAT IS/WAS THE PURPOSE AND AMOUNT OF EACH FEE CHARGED TO PARTICIPANTS?</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: left; width: 40%;">Description/purpose of fee</th> <th style="text-align: left; width: 60%;">Amount of fee</th> </tr> <tr> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>\$ _____</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>\$ _____</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>\$ _____</td> </tr> </table> | Description/purpose of fee | Amount of fee | _____ | _____ | _____ | \$ _____ | _____ | _____ | _____ | \$ _____ | _____ | _____ | _____ | \$ _____ | <p>25. HOW IS DRUG COURT DATA GATHERED AND COMPILED?</p> <p><input type="checkbox"/> Manually</p> <p><input type="checkbox"/> Automated</p> <p><input type="checkbox"/> Both</p> |
|---|----------------------------|---------------|-------|-------|-------|----------|-------|-------|-------|----------|-------|-------|-------|----------|---|
| Description/purpose of fee | Amount of fee | | | | | | | | | | | | | | |
| _____ | _____ | | | | | | | | | | | | | | |
| _____ | \$ _____ | | | | | | | | | | | | | | |
| _____ | _____ | | | | | | | | | | | | | | |
| _____ | \$ _____ | | | | | | | | | | | | | | |
| _____ | _____ | | | | | | | | | | | | | | |
| _____ | \$ _____ | | | | | | | | | | | | | | |

| II. DRUG COURT PARTICIPANT/PROGRAM INFORMATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|---|-------------------------|------------------------------------|--|---------------------------|-------------------------|------------------------------------|--|-------|-------|-------|--------------------------------|-------|-------|-------|--|-------|-------|-------|----------------------------|-------|-------|-------|----------------------------------|-------|-------|-------|--------------------------------------|-------|-------|-------|----------------------------|-------|-------|-------|
| <p>26. NUMBER OF PARTICIPANTS:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p> | <p>29. FROM THE TIME THE PROGRAM BECAME OPERATIONAL TO THE PRESENT, FROM THE BEGINNING OF THE GRANT TO THE PRESENT, AND FOR THE CURRENT REPORTING PERIOD (If different) HOW MANY PEOPLE:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 60%;"></th> <th style="width: 10%; text-align: center;">Since program start</th> <th style="width: 10%; text-align: center;">Since grant start</th> <th style="width: 20%; text-align: center;">For current reporting period</th> </tr> <tr> <td>a. Have been admitted to the drug court program?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>b. Have completed the program?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>c. Have failed to complete the program because they:</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> (1.) Have been terminated?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> (2.) Have voluntarily withdrawn?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> (3.) Have died while in the program?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>d. Are currently enrolled?</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> | | | | Since program start | Since grant start | For current reporting period | a. Have been admitted to the drug court program? | _____ | _____ | _____ | b. Have completed the program? | _____ | _____ | _____ | c. Have failed to complete the program because they: | _____ | _____ | _____ | (1.) Have been terminated? | _____ | _____ | _____ | (2.) Have voluntarily withdrawn? | _____ | _____ | _____ | (3.) Have died while in the program? | _____ | _____ | _____ | d. Are currently enrolled? | _____ | _____ | _____ |
| | Since program start | Since grant start | For current reporting period | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| a. Have been admitted to the drug court program? | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| b. Have completed the program? | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| c. Have failed to complete the program because they: | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| (1.) Have been terminated? | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| (2.) Have voluntarily withdrawn? | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| (3.) Have died while in the program? | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| d. Are currently enrolled? | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>27. TOTAL CAPACITY:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>28. NUMBER OF GRADUATES FROM THE DRUG COURT PROGRAM:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| <p>30. PROVIDE THE FOLLOWING DEMOGRAPHIC INFORMATION ABOUT PARTICIPANTS IN THE PROGRAM SINCE THE BEGINNING OF THE GRANT, SINCE THE BEGINNING OF THE PROGRAM, AND FOR THE CURRENT REPORTING PERIOD (If different).</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 30%;"></th> <th colspan="3" style="text-align: center;">Number of persons:</th> </tr> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr> <td>Age 12-16</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Age 17-18</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Age 19-21</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Age 22-30</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Age 31-40</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Age 41 or over</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Number of males</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Number of females</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Number of drug-free babies born to participants</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> | | Number of persons: | | | | Since program start | Since grant start | For current reporting period | Age 12-16 | _____ | _____ | _____ | Age 17-18 | _____ | _____ | _____ | Age 19-21 | _____ | _____ | _____ | Age 22-30 | _____ | _____ | _____ | Age 31-40 | _____ | _____ | _____ | Age 41 or over | _____ | _____ | _____ | Number of males | _____ | _____ | _____ | Number of females | _____ | _____ | _____ | Number of drug-free babies born to participants | _____ | _____ | _____ | <p>31. PROVIDE THE NUMBER OF PARTICIPANTS OF THE FOLLOWING RACIAL OR ETHNIC DESCENT:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 30%;"></th> <th colspan="3" style="text-align: center;">Number of persons:</th> </tr> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr> <td>African American</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Hispanic/Latino</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Asian/Pacific Islander</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Native American</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Alaskan Native</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Caucasian</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> | | Number of persons: | | | | Since program start | Since grant start | For current reporting period | African American | _____ | _____ | _____ | Hispanic/Latino | _____ | _____ | _____ | Asian/Pacific Islander | _____ | _____ | _____ | Native American | _____ | _____ | _____ | Alaskan Native | _____ | _____ | _____ | Caucasian | _____ | _____ | _____ | Other | _____ | _____ | _____ |
|---|---------------------------|-------------------------|------------------------------------|--|--|---------------------------|-------------------------|------------------------------------|-----------|-------|-------|-------|-----------|-------|-------|-------|-----------|-------|-------|-------|-----------|-------|-------|-------|-----------|-------|-------|-------|----------------|-------|-------|-------|-----------------|-------|-------|-------|-------------------|-------|-------|-------|---|-------|-------|-------|--|--|--------------------|--|--|--|---------------------------|-------------------------|------------------------------------|------------------|-------|-------|-------|-----------------|-------|-------|-------|------------------------|-------|-------|-------|-----------------|-------|-------|-------|----------------|-------|-------|-------|-----------|-------|-------|-------|-------|-------|-------|-------|
| | Number of persons: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Since program start | Since grant start | For current reporting period | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Age 12-16 | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Age 17-18 | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Age 19-21 | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Age 22-30 | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Age 31-40 | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Age 41 or over | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Number of males | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Number of females | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Number of drug-free babies born to participants | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Number of persons: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Since program start | Since grant start | For current reporting period | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| African American | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Hispanic/Latino | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Asian/Pacific Islander | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Native American | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Alaskan Native | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Caucasian | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| <p>32. HOW LONG DO YOU PLAN TO FOLLOW UP ON THE PROGRESS OF DRUG COURT PARTICIPANTS AFTER GRADUATION?</p> <p>6 months <input type="checkbox"/> 18 months <input type="checkbox"/> 12 months <input type="checkbox"/> Other _____</p> | <p>38. NUMBER OF PARTICIPANTS ARRESTED OR CONVICTED AFTER GRADUATION:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 40%;"></th> <th style="width: 20%; text-align: center;">Since program start</th> <th style="width: 20%; text-align: center;">Since grant start</th> <th style="width: 20%; text-align: center;">For current reporting period</th> </tr> <tr> <td>0-6 months after graduation:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td> Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>7-12 months after graduation:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td> Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>13-18 months after graduation:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td> Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> | | Since program start | Since grant start | For current reporting period | 0-6 months after graduation: | | | | Drug offense | _____ | _____ | _____ | Other nonviolent | _____ | _____ | _____ | Violent offense | _____ | _____ | _____ | Traffic offense: | | | | Driving while under the influence | _____ | _____ | _____ | Other (please describe) | _____ | _____ | _____ | 7-12 months after graduation: | | | | Drug offense | _____ | _____ | _____ | Other nonviolent | _____ | _____ | _____ | Violent offense | _____ | _____ | _____ | Traffic offense: | | | | Driving while under the influence | _____ | _____ | _____ | Other (please describe) | _____ | _____ | _____ | 13-18 months after graduation: | | | | Drug offense | _____ | _____ | _____ | Other nonviolent | _____ | _____ | _____ | Violent offense | _____ | _____ | _____ | Traffic offense: | | | | Driving while under the influence | _____ | _____ | _____ | Other (please describe) | _____ | _____ | _____ |
|--|---|---|------------------------------|-------------------------------|------------------------------|------------------------------|-----------------------------|-------|------------------|------------------------------|-------|-------|-----------------|------------------|-------|-------|------------------|-----------------|-------|-------|-----------------------------------|------------------|-------|-------|-------------------------|-----------------------------------|-------|-------|--|-------------------------|------------------------|---|-------------------------------|-------------------------------|-------|-----------------------------|-------|--------------|------------------------------|-------|-------|------------------|-------|-------|-------|-----------------|-------|-------|-------|------------------|--|--|--|-----------------------------------|-------|-------|-------|-------------------------|-------|-------|-------|--------------------------------|--|--|--|--------------|-------|-------|-------|------------------|-------|-------|-------|-----------------|-------|-------|-------|------------------|--|--|--|-----------------------------------|-------|-------|-------|-------------------------|-------|-------|-------|
| | Since program start | Since grant start | For current reporting period | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 0-6 months after graduation: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Drug offense | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other nonviolent | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Violent offense | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Traffic offense: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Driving while under the influence | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other (please describe) | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7-12 months after graduation: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Drug offense | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other nonviolent | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Violent offense | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Traffic offense: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Driving while under the influence | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other (please describe) | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 13-18 months after graduation: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Drug offense | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other nonviolent | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Violent offense | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Traffic offense: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Driving while under the influence | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other (please describe) | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>33. NUMBER OF PROGRAM PARTICIPANTS WHO GAINED A GED OR VOCATIONAL TRAINING CREDENTIAL WHILE IN THE PROGRAM:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>34. NUMBER OF PROGRAM PARTICIPANTS EMPLOYED AT GRADUATION:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 40%;"></th> <th style="width: 20%; text-align: center;">Part-time (under 30 hrs/wk)</th> <th style="width: 20%; text-align: center;">Full-time (30+hrs/wk)</th> </tr> <tr> <td>From the start of the program</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>From the start of the grant</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>For current reporting period</td> <td>_____</td> <td>_____</td> </tr> </table> | | Part-time (under 30 hrs/wk) | Full-time (30+hrs/wk) | From the start of the program | _____ | _____ | From the start of the grant | _____ | _____ | For current reporting period | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Part-time (under 30 hrs/wk) | Full-time (30+hrs/wk) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| From the start of the program | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| From the start of the grant | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| For current reporting period | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>35. NUMBER OF PERSONS FOR WHOM BENCH WARRANTS WERE ISSUED, WHO HAVE NOT BEEN PICKED UP, AND HAVE BEEN IN BENCH WARRANT STATUS FOR OVER 60 DAYS.</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>36. NUMBER OF PARTICIPANTS ARRESTED OR CONVICTED WHILE IN THE DRUG COURT PROGRAM:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 40%;"></th> <th style="width: 20%; text-align: center;">Since program start</th> <th style="width: 20%; text-align: center;">Since grant start</th> <th style="width: 20%; text-align: center;">For current reporting period</th> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td> Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td> Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> | | Since program start | Since grant start | For current reporting period | Drug offense | _____ | _____ | _____ | Other nonviolent | _____ | _____ | _____ | Violent offense | _____ | _____ | _____ | Traffic offense: | | | | Driving while under the influence | _____ | _____ | _____ | Other (please describe) | _____ | _____ | _____ | <p>39. NUMBER OF PARTICIPANTS WHO REMAIN DRUG FREE AFTER GRADUATION (If information is available):</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 60%;"></th> <th style="width: 20%; text-align: center;">Number of participants</th> <th style="width: 20%; text-align: center;">Point in time (days/months) after graduation during which data is collected</th> </tr> <tr> <td>From the start of the program</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>From the start of the grant</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>For current reporting period</td> <td>_____</td> <td>_____</td> </tr> </table> | | Number of participants | Point in time (days/months) after graduation during which data is collected | From the start of the program | _____ | _____ | From the start of the grant | _____ | _____ | For current reporting period | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Since program start | Since grant start | For current reporting period | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Drug offense | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other nonviolent | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Violent offense | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Traffic offense: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Driving while under the influence | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Other (please describe) | _____ | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Number of participants | Point in time (days/months) after graduation during which data is collected | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| From the start of the program | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| From the start of the grant | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| For current reporting period | _____ | _____ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>37. NUMBER OF CLIENTS WHO REENTERED THE DRUG COURT PROGRAM, AFTER COURT/SELF TERMINATION OR GRADUATION:</p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Drug Courts Program Office, Office of Justice Programs, U.S. Department of Justice, 810 7th Street, NW, Washington, D.C. 20531; and to Public Use Reports Project, 1121-0190, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

CJP FORM 4587/2 (7-99)

Appendix D
**Process Evaluations and
Management Information Systems**

Appendix D

Process Evaluations and Management Information Systems

Recipients of Implementation grants are required to conduct process evaluations of their drug court programs. The process evaluation should be designed to assess a program's effectiveness in meeting its operational and administrative goals. Ideally, process evaluations should be conducted by independent researchers, working in close collaboration with drug court program staff.

Process evaluations should document not only the history of program development and implementation, but also the specific elements of the program. Process evaluations supplement good internal management and monitoring, providing independent and objective appraisals of operational performance. Good process evaluations will target problematic program areas and provide recommendations for improvement. Ideally, the following information should be collected and analyzed as part of a process evaluation:

Target population: What is the drug court's target population? To what extent is that population being reached, as evidenced by relevant characteristics of the drug court participants (*e.g.*, current charge, prior record, nature and severity of substance abuse problem, race, age, and gender)? How do drug court participants compare with defendants not in drug court with respect to these characteristics?

Screening and assessment: What are the intake and assessment procedures? What screening and assessment instruments are used to identify offenders who are appropriate for the drug court program (*e.g.*, Addiction Severity Index, Michigan Alcoholism Screening Test)?

Case processing: At what point in the criminal justice process does the program intervene (*e.g.*, pretrial, postconviction)?

Program length: How long is the program? Is it possible to complete it early? What is the average length of stay in the program?

Urinalysis testing: Who conducts urinalysis testing? How frequently are participants tested for specific types of drugs? Is the drug testing done randomly? Are drug tests observed?

Treatment resources: What treatment services are provided? Who provides the treatment? What specific treatment modalities are used? To what extent, and under what circumstances, does the drug court use residential treatment services? Are any other service interventions provided (*e.g.*, therapeutic community type, initial detoxification phase)? Are culture or gender specific groups used? Is aftercare provided? What does it consist of?

Ancillary services: What ancillary services are provided? Who coordinates the referral of services?

Sanctions and incentives: What behavior is sanctioned in the program? What sanctions are used? What behavior is rewarded in the program? What incentives are used? Are sanctions and incentives applied uniformly?

Judicial supervision: How often do defendants appear before the judge? What team members are involved in the status hearings? Are staff meetings held prior to court? What information is routinely available to the judges and other team members? In what format?

Expulsion: What are the expulsion criteria? What happens to defendants who fail the program?

Graduation: How does a defendant graduate from the program? Are charges dismissed upon graduation?

Drug court team and program coordination: Who comprises the drug court team? What are the roles and responsibilities of the team member (*e.g.*, judge, prosecutor, defense attorney, treatment provider) in the drug court? What other agencies are linked to or involved with the drug court (*e.g.*, pretrial services, probation, community mental health)? Who is in charge of coordinating all the agencies? How often does the team meet and what is discussed?

Retention in program: To what extent is the drug court successful in retaining participants in the program (and in treatment), as evidenced by the number of persons (a) accepted into the program, (b) graduated, (c) currently active (and length of time in program), and (d) terminated? Are reasons for termination consistent?

Impact on criminal behavior: To what extent have program participants been arrested on new charges while they are active in the program? When participants have been arrested, what are the types of charges (*e.g.*, drug possession, traffic infraction, violent offense)? To what extent have drug court participants remained arrest-free after their admission to the program?

Impact on substance abusing behavior: What do drug test results show concerning the use of drugs by program participants during different phases of the program? Do the data show trends that evidence progress by participants in overcoming their dependence on drugs?

Impact on participants' life circumstances: To what extent has the program succeeded in enhancing participants' capacity to function in the community? Enhancing their educational levels? Job skills? Actual employment? Physical health? To what extent have program participants been able to be reunited with families from whom they had been separated because of their drug problems? How many drug-free babies have been born to program participants?

Implementation: Were all program components implemented as intended? If not, why not? Have any changes been made to the program since the initial design? Is the program reaching the goals and objectives set forth initially? Have new goals and objectives been added? Are there areas of the program that appear problematic? Do team members have concerns about the program? What are some recommendations to improve problematic areas?

To answer these types of questions, drug courts must maintain or have ready access to a considerable amount of information about individuals and must be able to aggregate relevant data in appropriate categories at reasonably frequent intervals. The information needed for monitoring and evaluation purposes should be obtainable from the records used in the program's day-to-day operations, including

records of screening activities, assessments, drug court dockets, treatment progress reports, drug test results, and criminal history “rap sheets.” Optimally, program managers should be able to review reports that aggregate and present this type of information in easy-to-read report formats at least once a month. They also should be able to generate ad hoc reports that provide relevant information on all of the topics listed above and many others as well.

Management Information Systems to Aid in the Collection of Evaluation Data

Applicants are strongly encouraged to design, implement, and maintain an automated data collection system for use in collecting program implementation data, process information, and baseline data that can be used to chart the progress and impact of the funded program. The application should detail specific data elements to be included in the automated data collection system and outline procedures to collect this information, including specific budgetary information and personnel. Following is a list of the minimum types of information that drug court information systems should routinely collect:

- Number of persons found eligible for the program.
- Number of persons admitted to the program.
- Number of eligible persons who were not admitted to the program. (*Note: If at all possible, the reasons for non-admission should be obtained and demographic, case, and criminal history information should be collected for these persons, for comparison purposes.*)
- Characteristics of persons admitted to the program:
 - Date of arrest
 - Date of admission to the drug court program
 - Age
 - Sex
 - Race/ethnicity
 - Family status
 - Employment status
 - Educational level
 - Current charge(s)
 - Criminal justice history
 - Drug use history
 - Alcohol and other drug treatment history
 - Mental health treatment history
 - Medical needs (including detoxification)
 - Nature and severity of substance abuse problem

-
- Treatment recommendations (from initial assessment and any follow-up assessments) and record of treatment regimen followed by each participant.
 - Number of participants currently active in the program, with appropriate categorization to reflect the number of persons in specific program phases, duration of time in program, principal types of treatment being provided, etc.
 - Number and characteristics of persons who successfully complete the program.
 - Number and characteristics of persons who have been terminated from the program, reasons for termination, and length of time in the program before termination.
 - Criminal justice sanctions imposed on non-completers.
 - Number of participants who fail to appear at drug court hearings and number of bench warrants issued for participants, by stage of participation in the program.
 - Rearrests during involvement in the drug court program and for a period of at least one year thereafter, and the types of arrests (*e.g.*, drug possession, other nonviolent offense, violent offense).
 - Fees, fines, costs, and restitution paid by each participant.
 - Community service hours provided by each participant.
 - Drug test histories of each participant while in the drug court program.
 - Record of attendance and treatment progress for each participant.
 - Record of program sanctions imposed on each participant in response to positive drug test or other evidence of noncompliance with program requirements.
 - Principal accomplishments of each participant while in the program (*e.g.*, advancement to new phase, attainment of GED or other educational objective, employment, family reunification, birth of drug-free baby).
 - Costs of drug court operations, and the sources of funding for each operational component.

For further information please refer to the OJP publication “Drug Court Monitoring, Evaluation, and Management Information Systems.” The report is available through the Internet (www.ojp.usdoj.gov/dcpo) and the National Criminal Justice Reference Service at 1–800–851–3420 (publication #NCJ171138).

Appendix E
**Drug Court Budgets:
Allowable and Unallowable Costs**

Appendix E

Drug Court Budgets: Allowable and Unallowable Costs

ALLOWABLE COSTS

A. Personnel

Only personnel who work directly for the grantee should be included in this section. All other personnel should appear under the contractual category. (For example: if the court is the grantee than the drug court coordinator should be included in personnel but the counselors for the treatment provider should be included in the contracts section).

Generally, the following personnel are not paid for with Federal funds:

- Judge
- Prosecutor
- Defense Attorney

Federal funds may be requested **ONLY** to support new positions dedicated to the drug court and generally include:

- Case Managers
- Drug Court Coordinators
- Administrative Support
- Counselors
- Probation Officers

All personnel must include: the annual salary; either % of time on the project or FTE (1 FTE = 100%); the duration of the grant period.

Example:

| Name/Position | Computation | Cost |
|------------------------|---|-------------|
| Jane Doe, Case Manager | 100% time x \$20,000 annual salary x 1 year | \$20,000 |

B. Fringe Benefits

The total % of the fringe benefit rate must be shown and the breakdown of that % must also be shown.

Example:

| Name/Position | Computation | Cost |
|------------------------|---|------------|
| Jane Doe, Case Manager | 27.85% fringe benefit rate x \$20,000 annual salary x 1 year | \$5,570.00 |

(Fringe Benefit Rate: FICA = 6.2%; Medicare = 1.45%; Unemployment = .2%; Health Insurance = 20%; Total = 27.85%)

C. Travel

Must include travel for at least 5 people (Judge, prosecutor, defense attorney, treatment representative, coordinator/court administrator) and up to 8 (evaluator, case manager, probation officer, etc.) to at least one technical assistance workshop or conference on or related to drug courts.

We encourage using DCPO funds for the team to travel to other drug courts, even if they have been operational for a few years. Learning through direct observation and through practitioner to practitioner dialogue are critical to the drug court field. Please remember, all travel must be pre-approved by the Program Manager.

In addition, we encourage grantees to use DCPO funds to send a team to attend the annual drug court conference sponsored by the National Association of Drug Court Professionals. This is an excellent opportunity to learn new techniques and network with other drug court practitioners.

Grantees must follow their local travel regulations. If the amounts exceed the Federal amount, then the OJP/Office of the Comptroller must determine if the amounts are reasonable. If the grantee does not have local travel regulations than they must follow the Federal regulations.

Funds in this category must be broken down. When locations of workshops and/or conferences are not known, applicants are asked to estimate travel costs. We recommend they budget up to \$1000 per person to attend.

Example:

| Purpose of Travel | Location | Item | Computation | Cost |
|-------------------|----------|------------------------|--|---------|
| Training workshop | Unknown | Airfare: | \$600 x 6 people = | \$3,600 |
| | | Hotel: | \$100/night x 6 people x 3 nights = | \$1,800 |
| | | Meals: | \$40/day x 6 people x 4 days = | \$960 |
| | | Ground transportation: | \$20 x 6 people = | \$120 |

D. Equipment

Non expendable items.

Federal funds may be used to purchase equipment when current equipment either does not exist or is unable to perform the necessary tasks required in the operations of the drug court. Examine carefully to ensure that there is a need and not just a desire to get the newest technology and that equipment is for drug court personnel only.

Equipment must be used 100% of the time for drug court purposes.

It is sometimes difficult to break down equipment costs but they should be broken down as much as possible.

Example:

| Item | Computation | Cost |
|----------|-------------|-------|
| Computer | (1) x \$850 | \$850 |

E. Supplies

It is important to distinguish between supplies and equipment — the general rule of thumb is that supplies are expendable. Examples of expendable supplies include office supplies and drug tests.

Example:

| Supply Item | Computation | Cost |
|--|---------------------------------------|---------|
| Instant Urine Drug Test Kits | \$330/box x 3 boxes per year x 1 year | \$990 |
| Office Supplies (pens, copy paper, staples, tape, print cartridges, desk calendars, binders) | \$200/month x 1 year | \$2,400 |

F. Construction

Construction is not allowable.

Minor renovations are allowable. The DCPO Director must approve all renovations.

G. Consultants/Contracts

Generally, this category includes costs for treatment, collateral services, and evaluation activities.

Consultant fees in excess of \$450 per day require additional justification and approval by the OJP/ Office of the Comptroller.

The grantee should always follow their own local guidelines for sole source procurement. Contracts over \$100,000 (regardless of whether it is Federal or match funds) require a sole source justification.

Example:

| Name of Consultant | Service Provided | Computation | Cost |
|--------------------|--------------------|--|-------|
| John Doe, Ph.D. | Process evaluation | | |
| Public Health Lab | Urine screens | 100 screens/mo x \$5.00/each x 1 year | \$500 |

H. Other Costs

This category may include rent, telephone costs, and anything else that does not fall under supplies or equipment. These costs must be new and directly related to the drug court program. It is preferable to provide such costs as match contributions.

Example:

| Description | Computation | Cost |
|----------------------|----------------------|---------|
| Telephone service | \$260/month x 1 year | \$3,120 |
| Technical Assistance | \$1,000 x 1 year | \$1,000 |

I. Indirect Costs

The grantee must have an approved Federal indirect cost rate. The indirect cost rate is issued by the grantee's cognizant agency, if OJP is the cognizant agency than the Office of the Comptroller will negotiate an indirect cost rate with the grantee.

J. Budget Summary

The Federal, match, and total amount must be shown for each category.

IMPORTANT — Check all calculations and totals before sending the budget to the Office of the Comptroller.

Example:

| Category | Federal | Local | Total |
|-----------------------------|---------|-------|-------|
| A. Personnel | | | |
| B. Fringe Benefits | | | |
| C. Travel | | | |
| D. Equipment | | | |
| E. Supplies | | | |
| F. Construction | | | |
| G. Consultants | | | |
| H. Other | | | |
| Total Direct Costs | | | |
| I. Indirect Costs | | | |
| TOTAL PROJECT COSTS: | | | |
| Federal Request | | | |
| Non-Federal Amount | | | |

UNALLOWABLE COSTS

The OJP/DCPO Director makes all final determinations about what the grant will or will not fund. Generally, the following are unallowable:

- salaries of judge, prosecutor, defense attorney
- firearms
- food
- grant writing expenses
- drug dogs
- law enforcement equipment (body armor; handcuffs; billy clubs; pepper spray, etc.)
- electronic monitoring.

Appendix F
Comprehensive Care Continuum

Appendix F

Comprehensive Care Continuum

A comprehensive treatment continuum is described below. Most, if not all, of these components are appropriate for members of every target population. However, not all services and interventions are needed by every individual in treatment or recovery. This continuum is not specific to treatment philosophy, modality, or setting. It is a generic framework within which applicants can conceptualize a comprehensive service delivery plan.

Methods of implementing the components of this continuum, the staff who delivers each service, the manner and setting in which different services are delivered, and so on should be based upon (1) the unique needs of the target population; (2) the extent to which there are addiction treatment, health care, human services, housing, and labor training alternatives elsewhere in the jurisdiction of authority; and (3) the extent of available resources. The array of services described below need not be provided by a single treatment entity but can be provided by a consortium of addiction treatment providers, health and human services providers, and criminal justice supervision agencies linked via coordinated case management.

An effective service delivery plan must include the following components:

Program Management, Structure, and Staff

- Clear program vision, philosophy, and mission statements, coupled with a strategic plan for achieving identifiable objectives (*e.g.*, increase to 80 percent the number of clients who complete treatment; reduce rearrest rates by 60 percent for all program participants who complete treatment).
- Ability to conduct comprehensive assessments at intake; to track client progress via documented case-finding methods and evaluation tools; to maintain process-tracking capability; and to conduct outcome evaluations (during and post-treatment) for all program participants.
- Multidisciplinary staff capable of ensuring that programming is delivered in a clinically appropriate and culturally competent manner.
- Staff-training and cross-training capability covering issues pertinent to effective treatment, including cross training of administrative, security, and treatment staff; gender sensitivity (sexuality, abuse); age-specific interventions; cultural competency; pharmacologic interventions; infectious disease transmission; dissemination of the latest research findings; HIV/AIDS counseling (coping skills/risk reduction/partner notification); dealing with psychopathology; and cognitive training for offenders.

Screening, Intake, and Monitoring

- Intake and assessment protocol that consists of the following: medical exam; alcohol and drug use history; psychosocial evaluation; where indicated, psychiatric assessment that is appropriate for evaluating all clients with respect to drug use, alcohol use, and degree of psychopathology; assessment of physical health; extent of cognitive or other impairments; employment history and capability; social history and status (*e.g.*, family of origin, sociocultural background, exposure to abuse or violence); educational status; and history of involvement in the criminal or juvenile justice systems.
- Screening for infectious diseases, including HIV/AIDS (to include pre- and post-test counseling), tuberculosis, sexually transmitted diseases, hepatitis B, and others, as appropriate.
- Health education, including safe sex and risk reduction techniques to mitigate the spread of HIV and other sexually transmitted diseases.
- Initial urine screening for the presence of prevalent drugs (licit or illicit) and a system of randomized (at least weekly), monitored urine testing for all treated inmates.
- Referral of clients to treatment and recovery settings and modalities that are best suited to meet their needs (client-treatment matching).
- Case management (timely treatment plan development, treatment record maintenance and patient monitoring, integration of treatment services into supervised programming, and continuation of recovery support services in community-based settings with continual case supervision throughout).

Timing and Duration of Treatment and Recovery Services

- Same day intake services and, whenever possible, individuals requesting intervention should be admitted to a treatment unit on the same day.
- Treatment and recovery services should be provided in the context of a sustained continuum that begins during detention or incarceration and is continued in the community of residence during parole and/or release from the facility.

Treatment and Recovery Services

- Special focus groups (peer-based and professionally monitored); general peer/support groups; cognitive group therapy; and counseling for HIV-positive clients and victims of sexual abuse.
- Special treatment programming designed to address anger management, violence prevention, victimization issues, and values formation.

-
- Preventive and primary medical care as required by the client mix, including gynecologic/obstetric or reproductive health, pre- and postnatal care, pediatric care, and so on.
 - Psychiatric assessments, followed by provision of specialized therapy to address indicated psychopathology, appropriate pharmacologic interventions, and monitoring, provided by practitioners recognized by appropriate State or local authorities (*e.g.*, appropriately credentialed psychiatrists, psychologists, psychiatric nurses).
 - Psychological counseling (when indicated) by persons recognized by State/local authorities as qualified to provide the indicated form of therapy.
 - Strategies to involve family members/significant others in the treatment process and provision of family/collateral counseling, as appropriate, provided by persons recognized by State/local authorities to provide such counseling.
 - Use of peers as mentors and sponsors; strong linkages with self-help groups such as Alcoholics Anonymous, Narcotics Anonymous, and Cocaine Anonymous.
 - Gender-specific, age-specific, and culturally relevant strategies (*e.g.*, staff recruitment and retention, unique treatment setting attributes, appropriate literature and audiovisual materials, and social activities) to keep clients actively engaged in the treatment process.
 - Parenting skills development for both fathers and mothers, including infant and childhood development courses to enhance parental functioning.
 - Nutritional and general health education by a qualified technician.
 - Skill development components that emphasize daily life skills, how to make use of available community resources, maintaining a drug- and crime-free lifestyle in a community context, and so on.
 - Child care provision at the treatment facility (where appropriate for custodial parent residents).
 - Recreational and social activities.
 - Transportation (on- or offsite for specialized services or employment, as appropriate).
 - Intensive supervision through probation, parole, community supervision, juvenile supervision, or other supervision agencies (*e.g.*, Treatment Alternatives to Street Crime, TASC).
 - Sustained continuity of treatment, recovery, and support services postrelease, including frequent interaction with a mentor, primary counselor, or case manager, as appropriate; intensive interventions as needed (*e.g.*, in the event of a traumatic event such as death or divorce); participation in ongoing peer-based support programs; and drug-free cooperative living arrangements.
 - Coordination of the treatment and recovery continuum with other germane services, such as vocational rehabilitation, education, legal aid, and transportation.

Resources:
Additional Federal Drug Court Funding Sources

A: Bureau of Justice Assistance

- **Edward Byrne Memorial State and Local Law Enforcement Assistance Fact Sheet**
- **FY 1998 Local Law Enforcement Block Grants Program Fact Sheet**
- **State Offices Administering the Edward Byrne Memorial State and Local Law Enforcement Program**



Bureau of Justice Assistance Fact Sheet

Nancy E. Gist, Director

Edward Byrne Memorial State and Local Law Enforcement Assistance

Fiscal Year 1998

Through the Edward Byrne Memorial State and Local Law Enforcement Assistance Program (the Byrne Program), the Bureau of Justice Assistance (BJA) provides leadership and guidance on crime and violence prevention and control and works in partnership with State and local governments to make communities safe and improve criminal justice systems. BJA develops and tests new approaches in criminal justice and crime control and encourages replication of effective programs and practices by State and local criminal justice agencies. The Byrne Program, created by the Anti-Drug Abuse Act of 1988 (Public Law 100-690), emphasizes controlling violent and drug-related crime and serious offenders and fosters multijurisdictional and multi-State efforts to support national drug-control priorities.

BJA makes Byrne Program funds available through two types of grant programs: discretionary and formula. Discretionary funds are awarded directly to public and private agencies and private nonprofit organizations; formula funds are awarded to the States, which then make subawards to State and local units of government.

Discretionary Grant Program

Program purposes. The Byrne Discretionary Grant Program focuses on the following crime and violence prevention and control activities:

- ☐ Undertaking educational and training programs for criminal justice personnel.
- ☐ Providing technical assistance to State and local units of government.

- ☐ Promoting projects that are national or multijurisdictional in scope.
- ☐ Demonstrating programs that, in view of previous research or experience, are likely to be successful in more than one jurisdiction.

Funding. In fiscal year (FY) 1998, \$46.5 million was appropriated for the Byrne Discretionary Grant Program.

Eligibility. Public and private agencies and private nonprofit organizations are generally eligible to apply for and receive funds under this program.

Matching requirements. Grants and contracts may be awarded for up to 100 percent of the cost of an approved project. The Federal share for subsequent awards of projects funded after FY 1994 will decrease by at least 25 percent. This policy reflects BJA's intent to promote leveraging of State, local, and private resources and to emphasize the need for early sustainment planning.

Program priorities. During FY 1998, BJA will focus on programs that implement comprehensive approaches to crime; stimulate partnerships among public agencies, private organizations, and communities; and address unmet needs in the delivery of criminal justice services. Most funds appropriated for discretionary grants will be awarded to continue initiatives started in previous fiscal years or to support those efforts designated by Congress.

BJA is seeking new initiatives through several competitive programs. An open solicitation has been announced to request the submission of innovative concepts and practices in issues related to community justice, law enforcement, adjudication, rural communities, indigent defense, and nontraditional uses of resources to

enhance public safety. State and local governments will be encouraged to submit concept papers on individual topics within these general areas. A second, more limited solicitation seeks applications to strengthen State and local evaluation efforts through partnerships among State administrative agencies. Panels of experts will review concept papers or applications for each competitive program. Funding decisions will be made by the Director of BJA.

Formula Grant Program

Program purposes. The Byrne Formula Grant Program is a partnership among Federal, State, and local governments to create safer communities and improved criminal justice systems. BJA is authorized to award grants to States for use by States and units of local government to improve the functioning of the criminal justice system, with emphasis on violent crime and serious offenders, and to enforce State and local laws that establish offenses similar to those in the Federal Controlled Substances Act. Grants may be used to provide personnel, equipment, training, technical assistance, and information systems for more widespread apprehension, prosecution, adjudication, detention, and rehabilitation of offenders who violate such State and local laws. Grants also may be used to provide assistance (other than compensation) to victims of these offenders. There are 26 legislatively authorized purpose areas (outlined in the next section) for which formula grant assistance may be provided.

Funding. In FY 1998, \$505 million was appropriated for the Byrne Formula Grant Program. From this allocation, each State receives a base amount of 0.25 percent of the total allocation. Remaining funds are allocated according to each State's relative share of the U.S. population. (See "Formula Grant Program Allocation of Funds.") In addition, Congress has added \$25 million to fund State programs related to the President's Federal drug-testing initiative. Although not mandated to do so, States are strongly encouraged to consider using Byrne Program funds for programs that support this initiative.

Eligibility. The 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible to apply for formula grant funds. For the purposes of this program, references to "State" include all of these eligible entities.

State office. The chief executive of each participating State designates a State office to administer the State's Byrne Program and to coordinate the distribution of

funds with State agencies receiving Federal funds for drug abuse education, prevention, treatment, and research activities and programs. An office or agency performing other functions within the State's executive branch may be the designated State office.

Statewide strategy. Each State is required to develop a statewide strategy to improve its functioning of the criminal justice system, with an emphasis on drug trafficking, violent crime, and serious offenders. The strategy should be prepared after consultation with State and local officials, particularly those whose duty it is to enforce drug and criminal laws and to direct the administration of justice, and made available to the public for comment.

Administrative funds. Up to 10 percent of formula grant funds allocated to a State may be used to pay for costs incurred in administering the formula grant program.

Matching requirements. At least 25 percent of the cost of a program or project funded with a formula grant must be paid in cash with non-Federal funds. These "match" funds must be in addition to funds that would otherwise be made available by the recipient for law enforcement. Match funds are generally provided on a project-by-project basis, although BJA can approve a statewide match option.

Passthrough. The minimum passthrough amount for each State is based on the percentage of funds expended for criminal justice purposes by units of local government relative to total State and local criminal justice expenditures in the State. These expenditures must be funded by State and local revenue sources, e.g., taxes, charges and fees, utility revenue, and interest earnings. This requirement applies only to the 50 States. The District of Columbia, because of its designation as a local unit of government, is required to pass through 100 percent. The Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands have no passthrough requirement due to their single-level government structures.

Funding priority. In distributing funds, States are to give priority to jurisdictions with the greatest need for assistance with criminal justice programs.

Congressional mandates. States are required to comply with the following congressional mandates:

- ☐ **Criminal Justice Records Improvement Plan.** States must use at least 5 percent of their formula grant awards for the improvement of criminal justice records.

Formula Grant Program Allocation of Funds

| State | FY 1998 Allocation | Percentage To Be Passed Through to Local Jurisdictions | State | FY 1998 Allocation | Percentage To Be Passed Through to Local Jurisdictions |
|----------------------|-----------------------|--|---------------------------------------|-----------------------|--|
| Alabama | 8,160,000 | 50.95 | New Jersey | 14,156,000 | 57.67 |
| Alaska | 2,242,000 | 21.97 | New Mexico | 4,028,000 | 42.23 |
| Arizona | 8,410,000 | 61.04 | New York | 30,614,000 | 63.29 |
| Arkansas | 5,313,000 | 54.87 | North Carolina | 13,082,000 | 41.36 |
| California | 52,716,000 | 63.15 | North Dakota | 2,301,000 | 56.16 |
| Colorado | 7,433,000 | 58.82 | Ohio | 19,296,000 | 64.42 |
| Connecticut | 6,547,000 | 36.96 | Oklahoma | 6,590,000 | 45.41 |
| Delaware | 2,432,000 | 26.87 | Oregon | 6,434,000 | 46.98 |
| District of Columbia | 2,139,000 | 100.00 | Pennsylvania | 20,722,000 | 64.83 |
| Florida | 24,505,000 | 61.56 | Rhode Island | 2,861,000 | 41.76 |
| Georgia | 13,131,000 | 53.39 | South Carolina | 7,233,000 | 42.53 |
| Hawaii | 3,173,000 | 46.45 | South Dakota | 2,445,000 | 47.16 |
| Idaho | 3,182,000 | 52.41 | Tennessee | 9,849,000 | 48.78 |
| Illinois | 20,384,000 | 64.51 | Texas | 32,137,000 | 65.60 |
| Indiana | 10,690,000 | 56.78 | Utah | 4,491,000 | 49.76 |
| Iowa | 5,865,000 | 40.79 | Vermont | 2,213,000 | 25.11 |
| Kansas | 5,414,000 | 47.49 | Virginia | 12,037,000 | 30.04 |
| Kentucky | 7,531,000 | 32.30 | Washington | 10,193,000 | 60.25 |
| Louisiana | 8,285,000 | 51.92 | West Virginia | 4,209,000 | 47.93 |
| Maine | 3,269,000 | 41.59 | Wisconsin | 9,591,000 | 61.98 |
| Maryland | 9,448,000 | 44.47 | Wyoming | 2,040,000 | 54.95 |
| Massachusetts | 11,096,000 | 36.64 | Puerto Rico | 7,368,000 | 0 |
| Michigan | 16,748,000 | 53.10 | Virgin Islands | 1,427,000 | 0 |
| Minnesota | 8,780,000 | 70.29 | Guam | 1,477,000 | 0 |
| Mississippi | 5,646,800 | 52.52 | American Samoa/ N. Mariana Islands | 1,408,000* | 0 |
| Missouri | 9,912,000 | 58.22 | | | |
| Montana | 2,682,000 | 58.56 | | | |
| Nebraska | 3,929,000 | 60.36 | | | |
| Nevada | 3,850,000 | 62.01 | | | |
| New Hampshire | 3,139,000 | 51.46 | | | |

* American Samoa (67 percent)—\$943,360; N. Mariana Islands (33 percent)—\$464,640.

Note: Figures for populations of States and for Puerto Rico are based on Bureau of Census estimates as of July 1, 1996. Figures for other U.S. territories are based on the 1990 census.

- ❑ **Immigration and Naturalization Plan.** States must develop methods to notify the Immigration and Naturalization Service (INS) of alien convictions and to provide records of those convictions to INS.
- ❑ **Human Immunodeficiency Virus (HIV) Testing.** States must enact and enforce a law that requires sex offenders to be tested for HIV if the victim requests such testing. If a State fails to comply, 10 percent of the State's formula grant will be withheld.
- ❑ **Jacob Wetterling Sexual Offender Registry.** States must establish 10-year registration requirements for persons convicted of certain crimes against minors and sexually violent offenses and a more stringent set of registration requirements for a subclass of highly dangerous sex offenders characterized as "sexually violent predators." If a State fails to comply with these requirements, 10 percent of its formula grant will be withheld.

Construction. Grant funds may be used for construction of penal and correctional institutions only. Acquisition of land with grant funds is prohibited.

Period of project support. Projects in the aggregate may be funded for a maximum of 4 years (48 months). Grants awarded to State and local governments to participate in multijurisdictional drug or gang task forces and victim assistance programs are excluded from this restriction.

Legislatively Authorized Byrne Program Purposes

Both discretionary and formula grant funds may be used to implement programs that carry out any of the following 26 legislatively authorized purposes:

1. Demand-reduction education programs in which law enforcement officers participate.
2. Multijurisdictional task force programs to integrate Federal, State, and local drug law enforcement agencies and prosecutors for the purpose of enhancing inter-agency coordination and intelligence and facilitating multijurisdictional investigations.
3. Programs to target the domestic sources of controlled and illegal substances, such as precursor chemicals, diverted pharmaceuticals, clandestine laboratories, and cannabis cultivations.
4. Community and neighborhood programs to assist citizens in preventing and controlling crime, including special programs that address crimes committed against the elderly and special programs in rural jurisdictions.
5. Programs to disrupt illicit commerce in stolen goods and property.
6. Programs to improve the investigation and prosecution of white-collar crime, organized crime, public corruption, and fraud against the Government, with priority attention to cases involving drug-related official corruption.
7. a. Programs to improve the operational effectiveness of law enforcement through the use of crime analysis techniques, street sales enforcement, schoolyard violator programs, and gang-related and low-income housing drug-control programs.
- b. Programs to develop and implement antiterrorism plans for deep-draft ports, international airports, and other important facilities.
8. Career criminal prosecution programs, including the development of model drug-control legislation.
9. Financial investigative programs to identify money laundering operations and assets obtained through illegal drug trafficking, including the development of model legislation, financial investigative training, and financial information-sharing systems.
10. Programs to improve the operational effectiveness of courts by expanding prosecutorial, defender, and judicial resources and implementing court delay-reduction programs.
11. Programs to improve the corrections system and provide additional public correctional resources, including treatment in prisons and jails, intensive supervision programs, and long-range corrections and sentencing strategies.
12. Prison industry projects to place inmates in a realistic working and training environment that enables them to develop marketable skills. With these skills inmates are better able to support their families and themselves in the institution and make financial restitution to their victims.
13. Programs to identify and meet the treatment needs of adult and juvenile drug- and alcohol-dependent offenders.

14. Programs to provide assistance to jurors and witnesses and assistance (other than compensation) to victims of crime.

15. a. Programs to improve drug-control technology, such as pretrial drug-testing programs; to provide for the identification, assessment, referral to treatment, case management, and monitoring of drug-dependent offenders; and to enhance State and local forensic laboratories.

b. Criminal justice information systems (including automated fingerprint identification systems) to assist law enforcement, prosecution, courts, and corrections organizations.

16. Programs to demonstrate innovative approaches to enforcement, prosecution, and adjudication of drug offenses and other serious crimes.

17. Programs to address drug trafficking and the illegal manufacture of controlled substances in public housing.

18. Programs to improve the criminal and juvenile justice system's response to domestic and family violence, including spouse abuse, child abuse, and elder abuse.

19. Programs with which States and local units of government can evaluate State drug-control projects.

20. Programs to provide alternatives to detention, jail, and prison for persons who pose no danger to the community.

21. Programs to strengthen urban enforcement and prosecution efforts targeted at street drug sales.

22. Programs to prosecute driving-while-intoxicated charges and enforce other laws relating to alcohol use and the operation of motor vehicles.

23. Programs to address the need for effective bindover systems for the prosecution of violent 16- and 17-year-old juveniles for [certain enumerated] violent crimes in courts with jurisdiction over adults.

24. Law enforcement and prevention programs for gangs and youth who are involved or are at risk of involvement in gangs.

25. Programs to develop or improve forensic laboratory capability to analyze DNA for identification purposes.

26. Programs to develop and implement antiterrorism training and procure equipment for local law enforcement authorities.

Note: Congress has authorized the use of Byrne funds to support programs that assist in the litigation of death penalty Federal habeas corpus petitions. This authorization applies only to the current award (FY 1998) and may or may not be available in future funding cycles.

Program Evaluation

The Anti-Drug Abuse Act of 1988 mandates that all programs funded under the Byrne Program be evaluated. The goal is to identify and disseminate information about programs of proven effectiveness so that jurisdictions throughout the country can replicate them. In addition, evaluation results guide the formulation of policy and programs within Federal, State, and local criminal justice agencies.

The National Institute of Justice (NIJ) is an active participant in BJA's evaluation program. BJA and NIJ jointly develop evaluation guidelines and conduct comprehensive evaluations of selected programs receiving discretionary and formula grant funds. The Director of NIJ is required to report to the President, Attorney General, and Congress on the nature and findings of Byrne Program evaluation activities.

Formula grant program applicants must include an evaluation component that meets the BJA/NIJ evaluation guidelines. The Director of BJA may waive this requirement under certain circumstances. Each State is required to provide BJA with an annual report that includes a summary of its grant activities and an assessment of the impact of these programs on the needs identified in its statewide strategy. Formula grant funds may be used to pay for evaluation activities.

Applicants for discretionary grant funding also are required to include an evaluation component in their applications and to conduct evaluations according to the procedures and terms established by BJA.

The Director of BJA is required to submit to the Speaker of the House of Representatives and to the President pro tempore of the Senate an annual report on evaluation results of BJA programs and projects and State strategy implementation.

For More Information

For additional information on the Bureau of Justice Assistance and its programs, contact the offices listed below. In addition, refer to BJA's *FY 1998 Program Plan* for a summary of all discretionary programs planned for FY 1998. Solicitations for competitive awards, including application instructions, will be issued separately and made available through the BJA home page or the BJA Clearinghouse home page. (See below for World Wide Web addresses.)

Bureau of Justice Assistance

810 Seventh Street NW.
Washington, DC 20531

Phone: 202-307-0635

World Wide Web: <http://www.ojp.usdoj.gov/BJA>

Bureau of Justice Assistance Clearinghouse

P.O. Box 6000

Rockville, MD 20849-6000

Phone: 1-800-688-4252

World Wide Web: <http://www.ncjrs.org>

Clearinghouse staff are available Monday through Friday, 8:30 a.m. to 7 p.m. eastern time. Ask to be placed on the BJA mailing list.

Department of Justice Response Center

Phone: 1-800-421-6770 or 202-307-1480

Response Center staff are available Monday through Friday, 9 a.m. to 5 p.m. eastern time.

FS 000184

March 1998

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Assistance

Washington, DC 20531

Official Business
Penalty for Private Use \$300

| |
|--|
| BULK RATE U.S. POSTAGE PAID DOJ/BJA Permit No. G-91 |
|--|

Edward Byrne Memorial State and
Local Law Enforcement Assistance



Bureau of Justice Assistance Fact Sheet

Nancy E. Gist, Director

FY 1998 Local Law Enforcement Block Grants Program

The Fiscal Year (FY) 1998 Appropriations Act, Public Law 105-119, provides \$523 million for the continuation of the Local Law Enforcement Block Grants (LLEBG) Program to be administered by the Bureau of Justice Assistance (BJA), U.S. Department of Justice. The purpose of the LLEBG Program is to provide funds to units of local government to underwrite projects to reduce crime and improve public safety.

Program Eligibility and Distribution of Funds

To be considered eligible for the LLEBG Program, a jurisdiction must be a general purpose unit of local government.¹ The unit of local government must report, via its law enforcement agency, to the Uniform Crime Reports (UCR) Program at the Federal Bureau of Investigation (FBI).

The LLEBG Program is a formula program based on a jurisdiction's number of UCR Part I violent crimes reported to the FBI. The formula is computed in two stages. In the first stage, State allocations are made proportionate to the State's average annual number of UCR Part I violent crimes compared to all States for the 3 most recent calendar years. Each State will receive a minimum award of 0.25 percent of the total amount available for formula distribution under the LLEBG Program. In the second stage, awards to units of local government are made proportionate to each local jurisdiction's average annual number of UCR Part I violent crimes compared to all local jurisdictions in that State for the 3 most recent calendar years. Jurisdictions reporting crime statistics above

the formula-based threshold of \$10,000 are eligible for direct awards from BJA.

The amount of State funds remaining after local allocations have been made is awarded to a State Administrative Agency (SAA) designated by the Governor. The SAA has the choice of distributing award funds to State police departments and/or to units of local government not meeting the formula-based threshold of \$10,000. Additional information about this portion of the funds is available from each State's respective SAA.

Program Purpose Areas

LLEBG Program funds must be spent in accordance with one or more of the following seven purpose areas:

- ☐ Law enforcement support for:
 - Hiring, training, and employing on a continuous basis new, additional law enforcement officers and necessary support personnel.
 - Paying overtime to employed law enforcement officers and necessary support personnel for the purpose of increasing the number of hours worked by such personnel.
 - Procuring equipment, technology, and other materials directly related to basic law enforcement functions.
- ☐ Enhancing security measures in and around schools and other facilities or locations that the unit of local government considers to be at risk for incidents of crime.

- ☐ Establishing or supporting drug courts.
- ☐ Enhancing the adjudication of cases involving violent offenders, including cases involving violent juvenile offenders.
- ☐ Establishing a multijurisdictional task force, particularly in rural areas, composed of law enforcement officials representing units of local government. These task forces must work with Federal law enforcement officials to prevent and control crime.
- ☐ Establishing cooperative crime prevention programs between community residents and law enforcement personnel to control, detect, or investigate crime or to prosecute criminals.
- ☐ Defraying the cost of indemnification insurance for law enforcement officers.

Program Requirements

The following requirements must be met prior to the obligation of LLEBG Program funds:

Advisory Board

Each jurisdiction must establish or designate an advisory board to review the application. This board must be designated to make nonbinding recommendations for the proposed use of funds received under this program.² At minimum the advisory board must include a member from each of the following local organizations: law enforcement agency, prosecutor's office, court system, school system, and nonprofit group (e.g., educational, religious, or community) active in crime prevention or drug use prevention or treatment.

Public Hearing

Each jurisdiction must hold at least one public hearing regarding the proposed use of funds. Jurisdictions should encourage public attendance and participation.

Matching Funds

In each jurisdiction, LLEBG funds may not exceed 90 percent of total program costs. Program participation requires a cash match that will not be waived. All recipients must maintain records clearly showing the source, amount, and timing of all matching contributions.

Trust Fund

Each jurisdiction must establish an interest-bearing trust fund in which to deposit program funds. All Federal funds (including interest and match) must be expended within the 2-year grant period. Unspent funds

must be returned to BJA within 90 days of the project's termination.

Public Safety Officers' Health Benefits Provision

Section 615 of the FY 1998 Appropriations Act requires a unit of local government to afford a public safety officer who retires or is separated from duty due to a line-of-duty injury suffered as a direct and proximate result of responding to a hot pursuit or an emergency situation at separation with health benefits that are the same as, or better than, those benefits received while on duty at the time of injury.

A unit of local government eligible for the LLEBG Program must be in compliance with this provision to be eligible to receive the entire amount of its award. A unit of local government not in compliance with this provision will forfeit 10 percent of the eligible award amount. For additional information on this provision, see the LLEBG Public Safety Officers' Health Benefits Provision fact sheet, which is available through the BJA Clearinghouse and via the BJA home page.

Prohibitions on Use of Funds

LLEBG funds are not to be used to purchase, lease, rent, or acquire tanks or armored vehicles, fixed-wing aircraft, limousines, real estate, yachts, or any vehicle not used primarily for law enforcement. Funds are not to be used to retain consultants. Construction of new facilities is also prohibited. In addition, Federal funds may not be used to supplant State or local funds; they must be used to increase the amount of funds that would otherwise be available from State and local sources.

Resolution of Funding Disparities

The LLEBG Program provides resolution to potential funding disparities within jurisdictions. The State attorney general may certify that a disparity exists between or among jurisdictions. Those jurisdictions are then required by statute to develop and submit joint applications. BJA's role is limited to accepting State attorney general certifications and reviewing joint applications for compliance. If the State attorney general chooses not to become involved in the disparate allocation certification process, there is no mechanism for BJA to intervene.

The LLEBG Program employs two criteria for determining eligibility for certification. First, an associated municipality's eligible funding amount must be greater (by set percentages) than the funding amount of the county. Second, the county must bear more than 50

percent of prosecution or incarceration costs arising from Part I violent crimes reported by an associated municipality. When there are multiple associated municipalities, the county also must show that the funding allocations to those municipalities are likely to threaten the efficient administration of justice.

Application Process

1. BJA distributes application kits to eligible units of local government in late May.
2. State attorney general submits disparity certifications to BJA, if applicable, in late June.
3. Jurisdiction's chief executive signs and submits a copy of the application to the Governor or designated representative at least 20 days prior to submission to BJA, as required by statute.
4. Chief executive forwards a copy of the application to BJA by late July.
5. BJA makes awards by late September.

Notes

1. Units of local government are counties, towns and townships, villages, cities, parishes, Indian tribes, Alaska Native villages, and parish sheriffs (in the State of Louisiana) that carry out substantial governmental duties.
2. In Louisiana the recommendations of the advisory board are binding.

For Further Information

For more information about the Local Law Enforcement Block Grants Program, please contact:

Bureau of Justice Assistance

Local Law Enforcement Block Grants Division
810 Seventh Street NW.
Washington, DC 20531
202-305-2088
World Wide Web: <http://www.ojp.usdoj.gov/BJA>

Bureau of Justice Assistance Clearinghouse

P.O. Box 6000
Rockville, MD 20849-6000
1-800-688-4252
World Wide Web: <http://www.ncjrs.org>

U.S. Department of Justice Response Center

1-800-421-6770 or 202-307-1480

FS 000216
May 1998

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Assistance

Washington, DC 20531

Official Business
Penalty for Private Use \$300

BULK RATE
U.S. POSTAGE PAID
DOJ/BJA
Permit No. G-91

**FY 1998 Local Law Enforcement
Block Grants Program
Fact Sheet**

BJA World Wide Web Address

For a copy of this document online,
as well as more information on BJA,
check the BJA Home Page at
<http://www.ojp.usdoj.gov/BJA>

State Offices Administering the Edward Byrne Memorial State and Local Law Enforcement Program

Single Points of Contact — Intergovernmental Review Process

Executive Order 12372 requires applicants from state and local units of government or other organizations providing service within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists and if this program has been selected for review by the State. You must contact your State SPOC to find out if this program has been selected for review by your State.

The Catalog of Federal Domestic Assistance reference for this program is number 16.586. A current list of State SPOC's is set forth below.*

ARIZONA

Janice Dunn
Arizona State Clearinghouse
Fourteenth Floor
3800 N. Central Avenue
Phoenix, Arizona 85012

Telephone: (602) 280-1315
FAX: (602) 280-1305

ARKANSAS

Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance
and Administration
Room 412
1515 W. 7th St.
Little Rock, Arkansas 72203

Telephone: (501) 682-1074
FAX: (501) 682-5206

CALIFORNIA

Bette North
Office of Criminal Justice Planning
Suite 300
1130 K Street
Sacramento, California 95814

Telephone: (916) 324-9154
FAX: (916) 324-9167

DELAWARE

Francine Booth
State Single Point of Contact
Executive Department
Thomas Collins Building
Dover, Delaware 19903

Telephone: (302) 739-3326
FAX: (302) 739-5661

DISTRICT OF COLUMBIA

Charles Nichols
State Single Point of Contact
Office of Grants Mgmt. & Dev.
Suite 500
717 14th Street, NW.
Washington, DC 20005

Telephone: (202) 727-6551
FAX: (202) 727-1617

FLORIDA

Suzanne Traub-Metlay
Florida State Clearinghouse
Intergovernmental Affairs Policy Unit
Executive Office of the Governor
Room 1603
The Capitol
Tallahassee, Florida 32399-0001

Telephone: (904) 488-8114
FAX: (904) 488-9005

GEORGIA

Charles H. Badger
Administrator
Georgia State Clearinghouse
Room 401J
254 Washington Street, SW.
Atlanta, Georgia 30334

Telephone: (404) 656-3855 or
(404) 656-3829
FAX: (404) 656-7938

ILLINOIS

Steve Klockenga
State Single Point of Contact
Office of the Governor
107 Stratton Building
Springfield, Illinois 62706

Telephone: (217) 782-1671
FAX: (217) 782-6620

INDIANA

Frances E. Williams
State Budget Agency
212 State House
Indianapolis, Indiana 46204

Telephone: (317) 232-2972
FAX: (317) 233-3323

* In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The Office of Management and Budget point of contact for updating this listing is: Donna Rivelli (202) 395-5090. The States not listed no longer participate in the process. These include: Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia, and Washington. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will only be made upon formal notification by the State. Also, this listing is published biannually in the Catalogue of Federal Assistance.

IOWA

Steven R. McCann
Division for Community Assistance
Iowa Department of Economic
Development
200 East Grant Avenue
Des Moines, Iowa 50309

Telephone: (515) 242-4719
FAX: (515) 242-4859

KENTUCKY

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive
Frankfort, Kentucky 40601-8204

Telephone: (502) 573-2382
FAX: (502) 583-2512

MAINE

Joyce Benson
State Planning Office
State House Station #38
Augusta, Maine 04333

Telephone: (207) 287-3261
FAX: (207) 287-6489

MARYLAND

Roland E. English III
Chief, State Clearinghouse for
Intergovernmental Assistance
Maryland Office of Planning
Room 1104
301 W. Preston Street
Baltimore, Maryland 21201-2365

Telephone: (410) 225-4490
FAX: (410) 225-4480

MASSACHUSETTS

Karen Arone
State Clearinghouse
Executive Office of Communities
and Development
Room 1803
100 Cambridge Street
Boston, Massachusetts 02202

Telephone: (617) 727-7001 ext. 443
FAX: (617) 727-4259

MICHIGAN

Richard S. Pastula
Director
Office of Federal Grants
Michigan Department of Commerce
P.O. Box 30225
Lansing, Michigan 48909

Telephone: (517) 373-7356
FAX: (517) 373-6683

MISSISSIPPI

Cathy Malette
Clearinghouse Officer
Office of Federal Grant
Management and Reporting
Department of Finance and
Administration
301 West Pearl Street
Jackson, Mississippi 39202

Telephone: (601) 949-2174
FAX: (601) 949-2125

MISSOURI

Lois Pohl
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 908
Room 760, Truman Building
Jefferson City, Missouri 65102

Telephone: (314) 751-4834
FAX: (314) 751-7819

NEVADA

Department of Administration
State Clearinghouse
Capitol Complex
Carson City, Nevada 89710

Telephone: (702) 687-4065
FAX: (702) 687-3983

NEW HAMPSHIRE

Jeffrey H. Taylor
Director, New Hampshire Office
of State Planning
Attn: Intergovernmental Review
Process
James E. Bieber
2 1/2 Beacon Street
Concord, New Hampshire 03301

Telephone: (603) 271-2155
FAX: (603) 271-1728

NEW JERSEY

Gregory W. Adkins
Director
Division of Community Resources
New Jersey Department of
Community Affairs

Please direct all correspondence
and questions about
intergovernmental review to:

Andrew J. Jaskolka
State Review Process
Division of Community Resources
Room 609, CN 814
Trenton, New Jersey 08625-0814

Telephone: (609) 292-9025
FAX: (609) 984-0386

NEW MEXICO

George Elliott
Deputy Director
State Budget Division
Room 190
Bataan Memorial Building
Santa Fe, New Mexico 87503

Telephone: (505) 827-3640

NEW YORK

New York State Clearinghouse
Division of the Budget State
Capitol Albany, New York 12224

Telephone: (518) 474-1605

NORTH CAROLINA

Chrys Baggett
Director
N.C. State Clearinghouse
Office of the Secretary of Admin.
116 West Jones Street
Raleigh, North Carolina 27603-8003

Telephone: (919) 733-7232
FAX: (919) 733-9571

NORTH DAKOTA

North Dakota Single Point of Contact
Office of Intergovernmental
Assistance
600 East Boulevard Avenue
Bismarck, North Dakota 58505-0170

Telephone: (701) 224-2094

OHIO

Larry Weaver
State Single Point of Contact
State Clearinghouse
Office of Budget and Management
34th Floor
30 East Broad Street
Columbus, Ohio 43266-0411

Please direct correspondence and questions about intergovernmental review to:

Linda Wise

Telephone: (614) 466-0698
FAX: (614) 466-5400

RHODE ISLAND

Daniel W. Varin
Associate Director
Department of Administration
Division of Planning, 4th Floor
One Capitol Hill
Providence, Rhode Island 02908-5870

Please direct correspondence and questions to:

Review Coordinator
Office of Strategic Planning

Telephone: (401) 277-2656
FAX: (401) 277-2083

SOUTH CAROLINA

Omeagia Burgess
State Single Point of Contact
Grant Services
Office of the Governor
Room 477
1205 Pendleton Street
Columbia, South Carolina 29201

Telephone: (803) 734-0494
FAX: (803) 734-0385

TENNESSEE

Charles Brown
State Single Point of Contact
State Planning Office, Suite 309
500 Charlotte Avenue
John Sevier Building
Nashville, Tennessee 37243-0001

Telephone: (615) 741-1676

TEXAS

Tom Adams
Director
Intergovernmental Coordination
P.O. Box 13005
Austin, Texas 78711

Telephone: (512) 463-1771
FAX: (512) 463-1984

UTAH

Carolyn Wright
Utah State Clearinghouse
Office of Planning and Budget
Room 116, State Capitol
Salt Lake City, Utah 84114

Telephone: (801) 538-1535
FAX: (801) 538-1547

VERMONT

Nancy McAvoy
State Single Point of Contact
Pavilion Office Building
109 State Street
Montpelier, Vermont 05609

Telephone: (802) 828-3326
FAX: (802) 828-3339

WEST VIRGINIA

Fred Cutlip
Director
Community Development Division
W. Virginia Development Office
Room 553, Building #6
Charleston, West Virginia 25305

Telephone: (304) 558-4010
FAX: (304) 558-3248

WISCONSIN

Martha Kerner
Section Chief, State/Federal
Relations
Wisconsin Department of
Administration
6th Floor
101 East Wilson Street
P.O. Box 7868
Madison, Wisconsin 53707

Telephone: (608) 266-2125
FAX: (608) 267-6931

WYOMING

Sheryl Jeffries
State Single Point of Contact
4th Floor, East Wing, Herschler Building
Cheyenne, Wyoming 82002

Telephone: (307) 777-7574
FAX: (307) 638-8967

United States Territories:

GUAM

Giovanni T. Sgambelluri
Director, Bureau of Budget and
Management & Research
Office of the Governor
P.O. Box 2950
Agana, Guam 96910

Telephone: 011-671-472-2285
FAX: 011-671-472-2825

PUERTO RICO

Norma Burgos/Jose E. Caro
Chairwoman/Director
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
P.O. Box 41119
San Juan, Puerto Rico 00940-1119

Telephone: (809) 727-4444
(809) 723-6190
FAX: (809) 724-3270
(809) 724-3103

NORTHERN MARIANA ISLANDS

State Single Point of Contact
Planning and Budget Office
Office of the Governor
Saipan, CM
Northern Mariana Islands 96950

VIRGIN ISLANDS

Jose George
Director
Office of Management and Budget
Second Floor
#41 Norregade Emancipation
Garden Station
Saint Thomas, Virgin Islands 00802

Please direct all questions and correspondence about intergovernmental review to:

Linda Clarke

Telephone: (809) 774-0750
FAX: (809) 776-0069

B: Office of Juvenile Justice and Delinquency Prevention

- **Juvenile Accountability Incentive Block Grants
Program Fact Sheet**
- **State Offices Administering the Juvenile Accountability
Incentive Block Grants Program**



OJJDP FACT SHEET

Shay Bilchik, Administrator

April 1998 #76

Juvenile Accountability Incentive Block Grants Program

by Rodney L. Albert

This Fact Sheet provides summary information regarding the Juvenile Accountability Incentive Block Grants (JAIBG) program, a new block grant program designed to promote greater accountability in the juvenile justice system. It is being administered by the Office of Juvenile Justice and Delinquency Prevention (OJJDP). Public Law 105-119, Making Appropriations for the Departments of Commerce, Justice and State, the Judiciary, and Related Agencies for the Fiscal Year Ending September 30, 1998, and for other Purposes (Appropriations Act), November 26, 1997, appropriated \$250 million for the JAIBG program described in Title III of H.R. 3, as passed by the House of Representatives on May 8, 1997. After deducting statutory set-asides for program administration (\$5.25 million); research, evaluation, and demonstration (\$7.5 million); and training and technical assistance (\$5 million), the balance available for distribution to eligible States is \$232.25 million.

State Eligibility and Program Areas

In order to qualify for Fiscal Year (FY) 1998 funds under the JAIBG program, each Governor or other chief executive from the 56 qualifying "State" jurisdictions must certify that the State has adopted, is considering, or will consider within 1 year State laws, policies, or procedures that would (1) subject juveniles age 15 or over who are alleged to have committed a "serious violent crime" to criminal prosecution by operation of law or prosecutor direct file; (2) impose sanctions on juvenile offenders for every delinquent act, including probation violations, and escalate sanctions for each subsequent more serious offense or probation violation; (3) establish a system of juvenile delinquency records that subjects juvenile felony offenders who have a prior delinquency adjudication to having their records treated in a manner equivalent to adult records, including submission of such records to the FBI; and (4) ensure that State law does not prohibit juvenile court judges from issuing court orders requiring parental supervision of a juvenile offender and from imposing sanctions for violations of such orders.

In addition to the four areas of certification listed above, the Appropriations Act also requires that a State or unit of local government, to be eligible to receive a JAIBG grant or subgrant award, must have implemented or must agree to implement by January 1, 1999, a policy of testing appropriate categories of juveniles within the juvenile justice system for use of controlled substances.

Of the funds available for awards to States in FY 1998, individual allocations, based on population under age 18, range from \$1.2 million to \$22.5 million per State. Funds are available for 12 juvenile justice system related program purpose areas:

- ◆ Construction of juvenile detention or correctional facilities, including training of personnel.
- ◆ Accountability-based sanctions programs.
- ◆ Hiring of judges, probation officers, and defenders and funding of pretrial services.
- ◆ Hiring of prosecutors.
- ◆ Funding of prosecutor-led drug, gang, and violence programs.
- ◆ Provision of technology, equipment, and training programs for prosecutors.
- ◆ Probation programs.
- ◆ Gun courts.
- ◆ Drug courts.
- ◆ Information sharing systems.
- ◆ Accountability-based programs for law enforcement referrals or those that are designed to protect students and school personnel from drug, gang, and youth violence.
- ◆ Controlled substance testing (including interventions) for juveniles in the juvenile justice system.

State Offices Administering the Juvenile Accountability and Incentive Block Grant Program

Alabama

Don Lee
Department of Economic and Community
Affairs
401 Adams Avenue
P.O. Box 5690
Montgomery, AL 36103-5690
Tele: 334-242-5830
Fax: 334-242-0712
Email: donl.@adeca.state.al.us

Alaska

William Hurr
Grants Officer
Department of Health and Social Services
Division of Family and Youth Services
P.O. Box 110630
Juneau, AK 99811-0630
Tele: 907-465-2116
Fax: 907-465-2333
email: Will_Hurr@health.state.ak.us

Arizona

Marcella Crane
Governor's Division for Children
1700 West Washington
Suite 240
Phoenix, AZ 85007
Tele: 602-542-3485
Fax: 602-542-4644
email: mcrane@azgov.state.az.us

Arkansas

Cheryl Moten
JJ Coordinator
Division of Youth Services
Department of Human Services
P.O. Box 1437, Slot 3200/500
Little Rock, AR 72203-1437
Tele: 501-682-1708
Fax: 501-682-1339
email: cheryl.moten@mail.state.ar.us

California

Briggite Baul
JJ Coordinator
Office of Criminal Justice Planning
1130 K Street
Suite 300
Sacramento, CA 95814
Tele: 916-327-8705
Fax: 916-324-9167
email: bbaul@ocsp.ca.gov

Colorado

Patricia Cervera
Division of Criminal Justice
Department of Public Safety
700 Kipling Street
Suite 1000
Denver, CO 80215
Tele: 303-239-4476
Fax: 303-239-4491
email: patricia.cervera@cdps.state.co.us

Connecticut

Valerie LaMotte
Planning Analyst Supervisor
Office of Policy and Management
Policy Development and Planning Division
450 Capitol Avenue
MS #52CPD
Hartford, CT 06134-1441
Tele: 860-418-6316
Fax: 860-418-6496
email: valerie.lamotte@po.state.ct.us

Delaware

Gail Rohm
Criminal Justice Planner
Criminal Justice Council
State Office Building, 10th Floor
820 N. French Street
Wilmington, DE 19801
Tele: 302-577-5030
Fax: 302-577-3440
email: grohm@state.de.us

District of Columbia

Doris Howard
Office of Grants Management and Development
717 14th St., NW, Suite 1200
Washington, DC 20005
Tele: 202-727-6537
Fax: 202-727-1617
email: *dho9@aol.com*

Florida

George Hinchliffe
Asst. Secretary for Programming and Planning
Department of Juvenile Justice
2737 Centerview Drive
Tallahassee, FL 32399-3100
Tele: 850-921-4188
Fax: 850-414-2264
email: *george.hinchliffe@djj.state.fl.us*

Georgia

Neil Kaltenbecker
Children and Youth Coordinating Council
10 Park Place South
Suite 410
Atlanta, GA 30303
Tele: 404-463-6907
Fax: 404-651-9354
email: *cycrneil@mindspring.com*

Hawaii

Suzanne Toguchi
Children and Youth Specialist
Department of Human Services
Office of Youth Services
820 Mililan Street
Suite 817
Honolulu, HI 96813
Tele: 808-587-5726
Fax: 808-587-5734
email: *oys@pixie.com*
(mention Toguchi)

Idaho

Paul Headlee
Grants and Contracts Specialist
Department of Juvenile Corrections
400 North 10th Street
P.O. Box 83720
Boise, ID 83720-0285
Tele: 208-334-5100 ext. 111
Fax: 208-334-5120
email: *pheadlee@djc.state.id.us*

Illinois

Robert Taylor
Illinois Criminal Justice Information Agency
120 South Riverside Plaza
Suite 1016
Chicago, IL 60606
Tele: 312-793-1300
Fax: 312-793-8422
email: *rtaylor@icjia.staff.il.us*

Indiana

Nikki Kincaid
Juvenile Justice Coordinator
IN Criminal Justice Institute
302 West Washington Street
Room E-209
Indianapolis, IN 46204
Tele: 317-232-1233
Fax: 317-232-4979
email: *nkincaid@cji.state.in.us*

Iowa

Steve Michael
Division of Criminal & Juvenile
Justice Planning
Lucas State Office Building, 1st Floor
Des Moines, IA 50319
Tele: 515-281-6509
Fax: 515-242-6115
email: *steve.michael@cjjp.state.ia.us*

Kansas

Paula Schuttera
Juvenile Justice Specialist
Jay Hawk Building
714 SW Jackson
Suite 300
Topeka, KS 66603
Tele: 785-296-4213
Fax: 785-296-1412
email: *pschutte@jjaco.wpo.state.ks.us*

Kentucky

Sharon Cook
Kentucky Department of Juvenile Justice
1025 Capitol Center Drive, Bldg 3
Frankfort, KY 40601-2638
Tele: 502-573-2738 x 305
Fax: 502-573-0836
email: *skcook@mail.state.ky.us*

Louisiana

Robert Miller
JAIB Coordinator
Comm. on Law Enforcement & Admin.
of Criminal Justice
1885 Wooddale Boulevard
Room 708
Baton Rouge, LA 70806-1511
Tele: 504-925-4259
Fax: 504-925-1998
email: *bobm@cole.state.la.us*

Maine

Roxy Hennings
Juvenile Justice Planner
Department of Corrections
Div of Youth Svcs
111 State House Station
Augusta, ME 04333
Tele: 207-287-4378
Fax: 207-287-4370
email: *Roxy.Hennings@state.me.us*

Maryland

Catrice Alphonso
Governor's Office of Crime Control and Prevention
300 E. Joppa Road
Suite 1105
Towson, MD 21286-3016
Tele: 410-321-3521 x 329
Fax: 410-321-3116
email: *catrice@goccp.usa.com*

Massachusetts

Lynn Wright
Director of Prevention Programs
Massachusetts Committee on Criminal Justice
One Ashburton PL, Suite 210
Boston, MA 02202
Tele: 617-727-6300 x 319
Fax: 617-727-5356
email: *lynn.wright@eps.state.ma.us*

Michigan

Greg Rivet
MI Family Independence Agency
235 South Grand Avenue, Suite 1515
P.O. Box 30037
Lansing, MI 48909
Tele: 517-241-7497
Fax: 517-373-2799
email: *rivetg2@state.mi.us*

Minnesota

Jerry Ascher
JJ Coordinator
Office of Youth
Development Department of Economic Security
390 North Robert Street
St. Paul, MN 55101
Tele: 651-296-8601
Fax: 651-297-4689
email: *jascher@ngwmail.des.state.mn.us*

Mississippi

Anthony Gobar
Juvenile Program Manager
Department of Public Safety
Division of Public Safety Planning
P.O. Box 23039
Jackson, MS 39225-3039
Tele: 601-359-7882
Fax: 601-359-7832
Email: *tgobar@dps.state.ms.us*

Missouri

Maria Hines
JJ Coordinator
MO Department of Public Safety
Truman Office Bldg.
P.O. Box 749
Jefferson City, MO 65102
Tele: 573-526-1931
Fax: 573-751-5399
email: *maria@dps.state.mo.us*

Montana

Allen C. Horsfall, Jr.
JJ Coordinator
MT Board of Crime Control
303 North Roberts
Helena, MT 59620-1408
Tele: 406-444-3651
Fax: 406-444-4722
email: *ahorsfall@mt.gov*

Nebraska

Nancy Steeves
Grants Division Chief
Comm. on Law Enforcement &
Criminal Justice
301 Centennial Mall South
P.O. Box 94946
Lincoln, NE 68509-4946
Tele: 402-471-3416
Fax: 402-471-2837
email: *nsteeves@crimecom.state.ne.us*

Nevada

Larry Carter
Juvenile Justice Coordinator
Division of Child and Family Services
Department of Human Resources
711 E. Fifth Street
Carson City, NV 89710-1002
Tele: 702-687-3982
Fax: 775-684-4457
email: *lcarter@govmail.state.nv.us*

New Hampshire

John McDermott
JJ Administrator
Department of Health and Human Services
6 Hazen Drive
Concord, NH 03301-6522
Tele: 603-271-4714
Fax: 603-271-4729
email: *jmcdermo@dhhs.state.nh.us*

New Jersey

Terry Edwards
c/o Pat Walker
Juvenile Justice Coordinator
Juvenile Justice Commission
Department of Law and Public Safety
840 Bear Tavern Road
P.O. Box 107
Trenton, NJ 08625
Tele: 609-530-5203
Fax: 609-530-2468
email: *BEAR_TAVERN.JJCWALK@smtp.lps.state.nj.us*

New Mexico

Richard Lindahl
Children, Youth and Families Department
P.O. Drawer 5160
Santa Fe, NM 87502
Tele: 505-827-7625
Fax: 505-827-8428
email: *none*

New York

Gary Schreivogl
Director, OFPA
Division of Criminal Justice Services
4 Tower Place
Albany, NY 12203-3702
Tele: 518-457-8462
Fax: 518-457-1186
email: *schreivogl@dcjs.state.ny.us*

North Carolina

Joel Rosch
Department of Crime Control and
Public Safety
Governor's Crime Commission
1201 Front Street
Suite 200
Raleigh, NC 27609-7220
Tele: 919-733-4564
Fax: 919-733-4625
email: *joel.rosch@ncmail.net*

North Dakota

Lisa Jahner
JAIBG Coordinator
P.O. Box 417
Bismarck, ND 58502-0417
Tele: 701-328-9800
Fax: 701-328-9808
email: *ljahner@ndaco.org*

Ohio

Kristi Mason
Grants Section
Office of Criminal Justice Services
400 East Town Street
Suite 120
Columbus, OH 43215-4242
Tele: 614-728-8743
Fax: 614-466-0308
email: *kmason@ocjs.state.oh.us*

Oklahoma

Lisa Gregg
Office of Juvenile Affairs
Department of Juvenile Justice
P.O. Box 268812
Oklahoma City, OK 73126-8812
Tele: 405-530-2914
Fax: 405-530-2913
email: *none*

Oregon

Ed Reilly
Oregon State Police
400 Public Service Bldg.
Salem, OR 97310
Tele: 503-378-3725 x 4147
Fax: 503-378-6993
email: *ed.reilly@state.or.us*

Pennsylvania

Beth Garner
JJ Coordinator
Commission on Crime and Delinquency
Bureau of Program Development
P.O. Box 1167
Harrisburg, PA 17108-1167
Tele: 717-787-8559 x 3037
Fax: 717-772-0551
email: *gardnerwilliams@pccd.state.pa.us*

Rhode Island

Elizabeth Gilheeney
JJ Coordinator
Governor's Justice Commission
One Capitol Hill, 4th Floor
Providence, RI 02908
Tele: 401-222-4494
Fax: 401-222-1294
email: *lizg@gw.doa.st.ri.us*

South Carolina

Laura Whitlock
Department of Public Safety
Office of Safety and Grants
5400 Broad River Road
Columbia, SC 29210-4088
Tele: 803-896-8713
Fax: 803-896-8393
email: laura_whitlockd@scdps.state.sc.us

South Dakota

Vicki Feist
JAIBG Coordinator
Department of Corrections
3200 East Capitol Ave 34
c/o East Capitol Ave
Pierre, SD 57501-5070
Tele: 605-773-3478
Fax: 605-773-3194
email: vickief@doc.state.sd.us

Tennessee

Michael Stein
Planning and Research
TN Department of Children's Services
Cordell Hull Building, 7th Floor
436 Sixth Avenue, North
Nashville, TN 37243-1296
Tele: 615-532-1101
Fax: 617-532-3580
email: mstein@mail.state.tn.u

Texas

Glenn Brooks
JJ Coordinator
Criminal Justice Division
Office of the Governor
P.O. Box 12428
221 E. 11th Street
Austin, TX 78711
Tele: 512-463-1944
Fax: 512-475-2440
email: gbrooks@governor.state.tx.us

Utah

Susan Burke
Executive Director
Commission on Criminal and Juvenile Justice
101 State Capitol
Salt Lake City, UT 84114
Tele: 801-538-1031
Fax: 801-538-1024
email: sburke@gov.state.ut.us

Vermont

Renee Kievit-Kylar
JJ Coordinator
VT Agency of Human Services
103 South Main Street
Waterbury, VT 05671-0203
Tele: 802-241-2953
Fax: 802-241-4461
email: reneekk@wpgate1.ahs.state.vt.us

Virginia

Marion Kelly
JAIBG Program Manager
Criminal Justice Services
805 E. Broad Street
10th Floor
Richmond, VA 23219
Tele: 804-225-4072
Fax: 804-371-8981
email: mkelly@dcjs.state.va.us

Washington

Dana Phelp
Program Administrator
Juvenile Rehabilitation Administration
Department of Social and Health Services
P.O. Box 45720
Olympia, WA 98504
Tele: 360-902-8406
Fax: 360-902-8180
email: phelpd@dshs.wa.gov

West Virginia

Angela Saunders
JJ Coordinator
Criminal Justice and Highway Safety Division
Dept. of Military Affairs and Public Safety
1204 Kanawha Blvd., East
Charleston, WV 25301-2900
Tele: 304-558-8814 ext. 220
Fax: 304-558-0391
email: wvdcjs@citynet.net

Wisconsin

Tina Connelly
Interim Executive Director
Wisc. Office of Justice Assistance
131 West Wilson Street, Suite 202
Madison, WI 53702
Tele: 608-266-0350
Fax: 608-266-6676
email: tina.connelly@oja.state.wi.us

Wyoming

Renee D. Gamino
Business Systems Analyst
WY Department of Family Services
2300 Capitol Avenue
Hathaway Bldg., 3rd Floor
Cheyenne, WY 82002
Tele: 307-777-6994
Fax: 307-777-3659
email: rgamin@missc.state.wy.us

Puerto Rico

Cecilia Duquela
Legal Advisor
Office of Youth Affairs
San José #252, Old San Juan
San Juan, PR 00901
Tele: 787-722-8211
Fax: 787-722-8615
email: cduquela@excite.com

American Samoa

John Lutali
Criminal Justice Planning Agency
American Samoa Government
P.O. Box 3760
Pago Pago, AS 96799
Tele: 011-684-633-5221
Fax: 011-684-633-7552
email: jaylu@samoatelco.com

Guam

David G. Dell'Isola
Acting Director
Department of Youth Affairs
P.O. Box 23672
Guam Main Facility, GU 96921
Tele: 671-734-2597
email: ddellisola@hotmail.com

Palau

NA

Virgin Island

Flemon Lewis
Director, Juvenile Justice Programs
Law Enforcement Planning Commission
8172 Subbase, Suite 3
St. Thomas, VI 00802
Tele: 340-774-6400
Fax: 340-776-3317
email: flemonlewis@usa.net

Northern Mariana Islands

John Cruz
Criminal Justice Planning Agency
P.O. Box 1133 CK
Saipan, MP 96950
Tele: 670-664-4550
Fax: 670-664-4560
email: john.cjpa@saipan.com

C: Center for Substance Abuse Treatment (CSAT)

- **Substance Abuse Prevention and Treatment Block Grant, Center for Substance Abuse Treatment**
- **State Offices Administering the Center for Substance Abuse Treatment (CSAT) Block Grant Program**

**Center for Substance Abuse Treatment (CSAT),
Substance Abuse and Mental Health Services Administration
(SAMHSA), U.S. Department of Health and Human Services (HHS)**

The Center for Substance Abuse Treatment (CSAT) of the Substance Abuse and Mental Health Services Administration (SAMHSA), Public Health Service, was created in October 1992 with the Congressional mandate to expand the availability of effective treatment and recovery services for alcohol and drug problems. CSAT works cooperatively across the private and public treatment spectrum to identify, develop, and support policies, approaches, and programs that enhance and expand treatment services for individuals who abuse alcohol and other drugs and that address individuals' addiction-related problems. The CSAT National Advisory Council, in accordance with statutory mandates, provides advice, consultation, and recommendations to the CSAT Director and the Secretary of DHHS on programmatic and policy matters relating to activities of the Center.

Office of the Director

H. Westley Clark, M.D., J.D., M.P.H., CAS, FASAM, Director

(301) 443-5700

FAX Number: (301) 443-8751

The Center for Substance Abuse Treatment (CSAT), Division of State and Community Assistance (DSCA), developed a State Systems Development Program (SSDP) to enhance Federal and State accountability for the Substance Abuse Prevention and Treatment (SAPT) Block Grant. The SSDP encompasses:

1. Development of a standard application to report Statewide substance abuse prevention activities and treatment services delivery plans;
2. The conduct of State prevention and treatment needs assessments;
3. The conduct of on-site State Alcohol and Other Drug (AOD) Systems Technical Reviews;
4. The provision of targeted technical assistance (TA) to States; and
5. The creation of a national database of current prevention activities and treatment services delivery information.

The SSDP is a comprehensive, systematic approach to administering the SAPT Block Grant which enables the Federal government:

1. To make a determination regarding a State's compliance to the statutory (See 42 U.S.C. 300x-21 *et seq*) and regulatory (See 45 C.F.R. Part 96) requirements regarding the use of block grant funds;
2. To monitor State expenditures of block grant funds at the provider level;

-
3. To assist States in matching AOD prevention and treatment needs to existing service delivery capacity; and
 4. Strengthen State management of the AOD prevention and treatment infrastructure. The SSDP provides a structure for the Federal government to guide and monitor substance abuse prevention activities and treatment services supported by the SAPT Block Grant on a State, regional, and national scale while providing States with the flexibility to plan, carry out, and evaluate (See 42 U.S.C. 300x–21) State-specific solutions to local AOD prevention and treatment needs.

Standard Application

The Center for Substance Abuse Treatment and its State partners developed and implemented the standard application for SAPT block grant funds. Prior to the introduction of the standard application, States annually submitted two separate documents: an annual report and a State plan. The format and content of the standard application incorporates some elements of the previous documents; however, the standard application provides a template for States to display both aggregate and entity expenditure data and also provides a description of a State's planning and needs assessment activities. CSAT's partners were encouraged, but not required, to electronically submit the uniform application using software, Block Grant Application System (BGAS), developed expressly for the States. Fifty-one of the States voluntarily use BGAS to annually submit their standard application. The aggregate data is stored in a database which can be used to provide analyses of State, regional, and national trends with regard to how Federal block grant funds are allocated and expended, and the activities and services provided to reduce the impact of alcohol and other drug abuse and dependence across the nation.

For further information about this block grant and other programs funded by CSAT visit their home page at www.samhsa.gov/csat.

STATE DIRECTORS

ALABAMA

Kent Hunt
Acting Director
Division of Substance Abuse Services
Alabama Department of Mental Health &
Mental Retardation
RSA Union Building
100 North Union Street
Montgomery, Alabama 36130-1410
(334) 242-3953
FAX (334) 242-0759

ALASKA

Marilee Fletcher
Acting Director
Division of Alcoholism & Drug Abuse
Alaska Department of Health & Social Services
P.O. Box 110607
Juneau, Alaska 99811-0607
(907) 465-2071
FAX (907) 465-2185

ARIZONA

Christy Dye
Program Manager
Office of Substance Abuse
Division of Behavioral Health Services
Arizona Department of Health Services
2122 East Highland
Phoenix, Arizona 85016
(602) 553-9092
FAX (602) 553-9143

ARKANSAS

Joe M. Hill
Director
Arkansas Bureau of Alcohol &
Drug Abuse Prevention
5800 West 10th Street, Suite 907
Little Rock, Arkansas 72204
(501) 280-4500
FAX (501) 280-4519

CALIFORNIA

Salle Jantz
Deputy Director
Department of Alcohol & Drug Programs
Executive Office
1700 K Street, Fifth Floor
Sacramento, California 95814-4037
(916) 445-1943
FAX (916) 323-5873

COLORADO

Janet Wood
Director
Alcohol & Drug Abuse Division
Colorado Department of Human Services
4055 South Lowell Boulevard
Denver, Colorado 80236-3120
(303) 866-7480
FAX (303) 866-7481

CONNECTICUT

Thomas A. Kirk Jr., Ph.D.
Deputy Commissioner
Department of Mental Health
and Addiction Services
P.O. Box 341431
Hartford, Connecticut 06134
(860) 418-6958
FAX (860) 418-6691

DELAWARE

Renata Henry
Director
Delaware Health and Social Services
Division of Alcoholism,
Drug Abuse & Mental Health
1901 North Dupont Highway
Administration Building
DHHS Campus, Room 192
New Castle, Delaware 19701
(302) 577-4461
FAX (302) 577-4486

FLORIDA

Kenneth A. DeCerchio, MSW, CAP
Assistant Secretary
Substance Abuse Program Office
Florida Department of Children and
Families Services
1317 Winewood Boulevard
Building 3, Room 101S
Tallahassee, Florida 32399-0700
(850) 487-2920
FAX (850) 487-2239

GEORGIA

Elizabeth F. Howell, M.D.
Substance Abuse Program Chief
Georgia Department of Human Resources
DMHMRS
2 Peachtree Street, NW, 4th Floor
Atlanta, Georgia 30303-3171
(404) 657-6419
FAX (404) 657-2160

HAWAII

Elaine Wilson
Chief
Alcohol & Drug Abuse Division
Hawaii Department of Health
Kakuhihewa Building
601 Kamokila Boulevard, Suite 360
Kapolei, Hawaii 96707
(808) 692-7507
FAX (808) 692-7521

IDAHO

Pharis Stranger
Acting Director
Bureau of Mental Health and
Substance Abuse
Division of Family & Community Services
Idaho Department of Health & Welfare
P.O. Box 83720, 5th Floor
Boise, Idaho 83720-0036
(208) 334-4944
FAX (208) 334-6699

ILLINOIS

Nick Gantes
Director
Illinois Department of Alcoholism
& Substance Abuse
James R. Thompson Center
100 West Randolph Street, Suite 5-600
Chicago, Illinois 60601
(312) 814-2291/3840
FAX (312) 814-2419

INDIANA

Janet Corson
Director
Division of Mental Health
Indiana Family & Social Services Administration
402 West Washington Street
Indiana Government Building, Room W-353
Indianapolis, Indiana 46204
(317) 232-7844
FAX (317) 233-3472

IOWA

Janet Wick
Director
Division of Substance Abuse
& Health Promotion
Iowa Department of Public Health
321 East 12th Street
Lucas State Office Building, Third Floor
Des Moines, Iowa 50319-0075
(515) 281-4417
FAX (515) 281-4535

KANSAS

Connie Hubbell
Commissioner
Department of Social & Rehabilitation Services
Substance Abuse Treatment & Recovery
Docking State Office Building, 5th Floor
915 Harrison
Topeka, Kansas 66612
(785) 296-3925
FAX (785) 296-5507

KENTUCKY

Michael Townsend
Director
Division of Substance Abuse
Kentucky Department of Mental Health
& Mental Retardation Services
100 Fair Oaks Lane
Frankfort, Kentucky 40621-0001
(502) 564-2880
FAX (502) 564-7152

LOUISIANA

Alton E. Hadley, MSW
Assistant Secretary
Office of Alcohol & Drug Abuse
Louisiana Department of Health & Hospitals
P.O. Box 2790, BIN #18
Baton Rouge, Louisiana 70821-3868
(225) 342-6717
FAX (225) 342-3931

MAINE

Lynn Duby
Director
Maine Office of Substance Abuse
Augusta Mental Health Complex
Marquardt Bldg., 3rd Floor
159 State House Station
Augusta, Maine 04333-0159
(207) 287-2595/6330
FAX (207) 287-4334

MARYLAND

Thomas Davis
Director Alcohol & Drug Abuse
Administration
Maryland Department Health
& Mental Hygiene
201 West Preston Street, 4th Floor
Baltimore, Maryland 21201
(410) 767-6925
FAX (410) 333-7206

MASSACHUSETTS

Mayra Rodriquez-Howard
Director
Bureau of Substance Abuse Services
Massachusetts Department of Public Health
250 Washington Street
Boston, Massachusetts 02108
(617) 624-5151
FAX (617) 624-5185

MICHIGAN

Deborah Hollis
Acting Director
Michigan Department of Community Health
Bureau of Substance Abuse Services
Lewis Cass Building, 5th Floor
320 South Walnut Street
Lansing, Michigan 48913
(517) 335-0267
FAX (517) 335-3090

MINNESOTA

Carolyn Pollard
Administrative Planning Director
Chemical Dependency Program Division
Minnesota Department of Human Services
444 Lafayette Road North
St. Paul, Minnesota 55155-3823
(651) 296-4728
FAX (651) 297-1862

MISSISSIPPI

Herbert Loving
Director
Division of Alcohol & Drug Abuse
Mississippi Department of Mental Health
Robert E. Lee State Office Building
239 North Lamar Street, 11th Floor
Jackson, Mississippi 39201
(601) 359-1288
FAX (601) 359-6295

MISSOURI

Michael Couty, MA
Director
Division of Alcohol & Drug Abuse
Missouri Department of Mental Health
P.O. Box 687
Jefferson City, Missouri 65102-0687
(573) 751-4942
FAX (573) 751-7814

MONTANA

Roland Mena
Chief
Chemical Dependency Bureau
Addictive & Mental Disorders Division
P.O. Box 202951
Helena, Montana 59620-2951
(406) 444-3964
FAX (406) 444-4435

NEBRASKA

Gordon Tush, Ph.D
Director
Division of Alcoholism, Drug Abuse,
and Addiction Services
Nebraska Department of Health &
Human Services Systems
P.O. Box 94728
Lincoln, Nebraska 68509-4728
(402) 471-2851, ext 5583
FAX (402) 479-5162

NEVADA

Peg Hellman
Acting Chief
Bureau of Alcohol & Drug Abuse
Department of Health Human
Resources Division
505 East King Street, Room 500
Carson City, Nevada 89701-3703
(775) 684-4190
Fax (775) 684-4185

NEW HAMPSHIRE

Paul Gorman, Ed. D., Acting Director
Office of Alcohol & Drug Abuse Prevention
New Hampshire Department of Health
& Human Services
State Office Park South
105 Pleasant Street
Concord, New Hampshire 03301
(603) 271-6104 FAX (603) 271-6116

NEW JERSEY

Terrence O'Connor
Assistant Commissioner
New Jersey Department of Health
& Senior Services
Division of Addiction Services
P.O. Box 362
Trenton, New Jersey 08625-0362
(609) 292-5760
FAX (609) 292-3816

NEW MEXICO

Mary Schumacher
Director
Behavioral Health Services Division
New Mexico Department of Health
Harold Runnels Building, Room 3200 North
1190 St. Francis Street
Santa Fe, New Mexico 87501-6110
(505) 827-2601
FAX (505) 827-0097

NEW YORK

Jean Somers-Miller
Commissioner
New York State Office of Alcoholism
& Substance Abuse Services
1450 Western Avenue
Albany, New York 12203-3526
(518) 457-2061
FAX (518) 457-5474

NORTH CAROLINA

Flo Stein, M.P.H., Chief
Substance Abuse Services Section
Division of Mental Health, Development
Disabilities and Substance Abuse Services
North Carolina Dept. of Health &
Human Services
325 North Salisbury Street
Raleigh, North Carolina 27603
(919) 733-4670
FAX (919) 733-9455

NORTH DAKOTA

Don Wright
Unit Manager
Substance Abuse Services
Division of Mental Health &
Substance Abuse Services
Professional Building
600 South 2nd Street, Suite #1E
Bismarck, North Dakota 58504-5729
(701) 328-8922/8920
FAX (701) 328-8969

OHIO

Luceille Fleming
Director
Ohio Department of Alcohol
& Drug Addiction Services
280 North High Street
Two Nationwide Plaza, 12th Floor
Columbus, Ohio 43215-2537
(614) 466-3445
FAX (614) 752-8645

OKLAHOMA

Dennis Doyle
Director
Substance Abuse Services
Oklahoma Department of Mental Health
& Substance Abuse Services
P.O. Box 53277, Capitol Station
Oklahoma City, Oklahoma 73152
(405) 522-3858
FAX (405) 522-3650

OREGON

Barbara Cimaglio
Director
Office of Alcohol & Drug Abuse Programs
Oregon Department of Human Resources
Human Resources Building, 3rd Floor
500 Summer Street, NE
Salem, Oregon 97310-1016
(503) 945-5763
FAX (503) 378-8467

PENNSYLVANIA

Gene Boyle
Director
Office of Drug & Alcohol Programs
Pennsylvania Department of Health
2635 Paxton Street
Harrisburg, Pennsylvania 17111
(717) 783-8200
FAX (717) 787-6285

RHODE ISLAND

Kathleen M. Spangler
Acting Executive Director
Division of Substance Abuse
Department of Mental Health,
Retardation and Hospitals
600 New London Avenue
Cranston, Rhode Island 02920
(401) 462-3201
FAX (401) 462-3204

SOUTH CAROLINA

Rick Wade
Director
South Carolina Department of Alcohol
& Other Drug Abuse Services
3700 Forest Drive, Suite 300
Columbia, South Carolina 29204-4082
(803) 734-9520
FAX (803) 734-9663

SOUTH DAKOTA

Gilbert Sudbeck
Director
Division of Alcohol & Drug Abuse
South Dakota Department of Human Services
Hillsview Plaza, East Highway 34
c/o 500 East Capitol
Pierre, South Dakota 57501-5070
(605) 773-3123/5990
FAX (605) 773-5483

TENNESSEE

Stephanie W. Perry, MD
Assistant Commissioner
Bureau of Alcohol & Drug Abuse Services
Tennessee Department of Health
Cordell Hull Building, 3rd Floor
426 5th Avenue, North
Nashville, Tennessee 37247-4401
(615) 741-1921
FAX (615) 532-2419

TEXAS

Terri Faye Bleier
Executive Director
Texas Commission on Alcohol & Drug Abuse
P.O. Box 80529
Austin, Texas 78708-0529
(512) 349-6600
FAX (512) 837-0998
TCADA Overnight Mail Address:
9001 North IH-35, Suite 105
Austin, Texas 78753-5233

UTAH

Leon PoVey
Director
Division of Substance Abuse
Utah Department of Human Services
120 North 200 West, Room 413
Salt Lake City, Utah 84103
(801) 538-3939
FAX (801) 538-4696

VERMONT

Tom Perras
Director
Office of Alcohol & Drug Abuse Programs
Vermont Agency of Human Services
108 Cherry Street
Burlington, Vermont 05402
(802) 651-1550
FAX (802) 651-1573

VIRGINIA

Lewis Gallant, Ph.D.
Director
Substance Abuse Speciality Services
Virginia Department of Mental Health, Mental
Retardation & Substance Abuse Services
1220 Bank Street, 8th Floor
Richmond, Virginia 23218
(804) 786-3906
FAX (804) 371-0091

WASHINGTON

Kenneth D. Stark
Director
Division of Alcohol & Substance Abuse
Washington Department of Social & Health Services
P.O. Box 45330
Olympia, Washington 98504-5330
(360) 438-8200
FAX (360) 438-8078

WEST VIRGINIA

Shawn Cade
Director
Division of Alcohol & Drug Abuse
Office of Behavioral Health Services
West Virginia Department of Health &
Human Services
1900 Kanawha Boulevard, Capitol Complex
Building 6, Room 738
Charleston, West Virginia 25305
(304) 558-2276
FAX (304) 558-1008

WISCONSIN

Philip S. McCullough
Director
Bureau of Substance Abuse Services
Division of Supportive Living
Department of Health & Family Services
P.O. Box 7851
Madison, Wisconsin 53707-7851
(608) 266-3719
FAX (608) 266-1533

WYOMING

Pablo Hernandez, M.D.
Administrator
Division of Behavioral Health
Department of Health
447 Hathaway Building
Cheyenne, Wyoming 82002
(307) 777-7997
FAX (307) 777-5580

DISTRICT OF COLUMBIA

Deidra Roach, M.D.
Administrator
Addiction Prevention &
Recovery Administration
1300 First Street, N.E., 3rd Floor
Washington, DC 20002
(202) 727-9393
FAX (202) 535-2028

Territories

PUERTO RICO

Jose Acevedo, Ph.D.
Administrator
Puerto Rico Mental Health and
Anti-Addiction Services Administration
P.O. Box 21414
San Juan, Puerto Rico 00928-1414
(787) 764-3795
FAX (787) 765-5895

VIRGIN ISLANDS

Carlos Ortiz
Director
Division of Mental Health, Alcoholism,
& Drug Dependency Services
U.S. Virgin Islands Department of Health
Barbel Plaza South 2nd Floor
St. Thomas, U.S. Virgin Island 00802
(340) 774-4888 or 774-7700
FAX (340) 773-7900

Indian Nations

RED LAKE BAND OF THE CHIPPEWA INDIAN TRIBE

Bobby Whitefeather, Sr.
Chairman
Tribal Council
Red Lake Band of the Chippewa Indian Tribe
P.O. Box 574
Red Lake, Minnesota 56671
(218) 679-3341
FAX (218) 679-3378

Program contact:

Richard Seki, (same address)
(218) 679-3995
FAX (218) 679-3976

Pacific Basin Jurisdictions

AMERICAN SAMOA

Marie Ma'o
Director
Department of Human & Social Services
Government of American Samoa
Pago Pago, American Samoa 96799
(684) 633-2696
FAX (684) 633-7449

GUAM

John Leon Guerrero
Director
Department of Mental Health & Substance Abuse
Government of Guam
790 Governor Carlos G. Camacho Road
Tamuning, Guam 96911
(671) 647-5445
FAX (671) 649-6948

**COMMONWEALTH OF
THE NORTHERN MARIANA ISLANDS**

Joe Villagomez, M.S.W.
Secretary of Health
Department of Public Health
Commonwealth of the Northern Mariana Islands
P.O. Box 409 CK
Saipan, Northern Mariana Islands 96950
(670) 234-8950 ext 2001
FAX (670) 234-8930

PALAU

The Honorable Masao Ueda
Minister of Health
Ministry of Human Services
Palau National Hospital
Republic of Palau
P.O. Box 6027
Koror, Republic of Palau 96940-0504
(680) 488-2813
FAX (680) 488-1211

MARSHALL ISLANDS

Donald Capelle
Secretary
Ministry of Health Services
P.O. Box 16
Majuro, Marshall Islands 96960
(692) 625-3355
FAX (692) 625-3432

MICRONESIA

Eliuel K. Pretrick, M.O., M.P.H.
Secretary
Department of Health, Education &
Social Affairs Federated States of Micronesia
P.O. Box PS 70
Palikir, Pohnpei Micronesia 96941
(691) 320-2619
FAX (691) 320-5263

Recommended Reading

The following documents are the latest U.S. Department of Justice publications on drug courts and are available from the National Criminal Justice Reference Service at 1-800-851-3420.

American University Drug Court Clearinghouse and Technical Assistance Project Justice Programs Office

Summary Assessment of the Drug Court Experience, May 1996

1997 Drug Court Survey Report: Executive Summary, October 1997

Drug Courts Program Office, Office of Justice Programs, U.S. Department of Justice

Defining Drug Courts: The Key Components, January 1997

Drug Court Monitoring, Evaluation, and Management Information Systems, June 1998, NCJ171138

Guideline for Drug Courts on Screening and Assessment, June 1998, CJ171143

Juvenile and Family Drug Courts: An Overview, June 1998, NCJ171139 (**Revised 1999**)

Decade of Drug Courts, June 1998, NCJ171140 (**Revised 1999**)

Juvenile and Family Drug Courts: Profile of Program Characteristics and Implementation Issues, June 1998, NCJ171142

Drug Courts Program Office — Fact Sheet, June 1998, FS4000099

Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations, June 1999, NCJ176977

National Association of Drug Court Professionals

Drug Courts: A Revolution in Criminal Justice, 1999

National Drug Court Institute

Drug Court Publications: Resource Guide, May 1999

DUI/Drug Courts: Defining a National Strategy, March 1999

Bureau of Justice Assistance, U.S. Department of Justice, Publications

Special Drug Courts, Program Brief, NCJ 144531

Office of Juvenile Justice and Delinquency Prevention, U.S. Department of Justice, Publications

American Probation and Parole Association's Drug Testing Guidelines and Practices for Juvenile Probation and Parole Agencies, 1992, NCJ 136450

Capacity Building for Juvenile Substance Abuse Treatment, 1997, NCJ 167251

Drug Identification and Testing in the Juvenile Justice System, 1998, NCJ 167889

Conflict Resolution Education: A Guide to Implementing Programs in Schools, Youth-Serving Organizations, and Community and Juvenile Justice Settings, 1996, NCJ 160935

Preventing Drug Abuse Among Youth: An Overview of Community, Family, and School-Based Programs, 1997, NCJ 165583

Focus on Accountability: Best Practices for Juvenile Court and Probation, 1999, NCJ 177611

National Institute of Justice, U.S. Department of Justice, Publications

John S. Goldkamp and Doris Weiland, *Assessing the Impact of Dade County's Felony Drug Court*, NCJ 145302

The Drug Court Movement, Update, September 1995

Peter Finn and Andrea K. Newlyn, *Miami's Drug Court, A Different Approach*, NCJ 142412

John S. Goldkamp, *Issues and Practices, Justice and Treatment Innovation: The Drug Court Movement, A Working Paper of the First National Drug Court Conference*, December 1993, NCJ 149260

Addresses on the World Wide Web

- National Criminal Justice Reference Center:
www.pavnet.org
- Office of National Drug Control Policy:
www.whitehouse.gov/WH/EOP/ondcp/html/ondcp.html
- U.S. Department of Education:
www.ed.gov
- U.S. Department of Health and Human Services:
www.os.dhhs.gov
- U.S. Department of Housing and Urban Development:
www.hud.gov
- U.S. Department of Labor:
www.dol.gov
- Drug Information and Strategy Clearinghouse:
gopher://ric.aspensys.com:76
- Drug Free Workplace Helpline:
helpline@samhsa.gov
- National AIDS Clearinghouse:
<http://www.cdcnac.org>
- National Clearinghouse for Alcohol and Drug Abuse Information:
www.health.org
- Drug Court Clearinghouse/Justice Programs Office, American University:
www.american.edu/justice

U.S. Department of Justice
Office of Justice Programs
Drug Courts Program Office

Washington, D.C. 20531

Official Business
Penalty for Private Use, \$300

BULK RATE
POSTAGE & FEES PAID
DOJ/OJP
Permit No. G-91

SL 000392